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The papers in this monograph review the literature and summarize recent research findings on factors affecting educational change in the public schools. The authors also report the reactions of several principals who have attempted to implement significant educational innovation in their schools. In the opening chapter, Kenneth A. Tye uses a systems model to discuss equilibrium, resistance, and strategies that facilitate change. Next, Mary M. Bentzen discusses the demands that accompany the principal's role, the conflicts he faces, and how these demands and conflicts might be channeled and resolved. Robert L. Sinclair examines the expression, requirements, and determinants of leadership behavior. Jerrold M. Novotney's chapter describes methods for achieving optimum staff involvement and cooperation in change efforts. In the final chapter, Donald A. Myers discusses the roles of the principal and of his teachers in the decision-making process. Lillian K. Spitzer prepared the annotated bibliography on change which contains 65 recent citations. (Author and JH)

THE PRINCIPAL *and the* CHALLENGE *of* CHANGE

An |I|D|E|A| Monograph

Institute for the Development
of Educational Activities, Inc.

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affiliated with the
Charles F. Kettering Foundation

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To the principals of The League of Cooperating Schools

If the map of change is to be charted, men must not fear to begin.

FOREWORD

Each year, substantial human effort goes into the production of educational change. Activities include endless numbers of speeches, workshops, institutes, symposia, articles and books, radio and television programs, films, videotapes, et cetera. The race to keep up with advances in knowledge and practice never ends.

In spite of all this activity, the gap between the present condition of educational institutions and where they should or could be is a formidable one. We recognize the desirability of individualizing instruction but our accomplishments in this aspect of education are not great. We want students to become independent learners but even candidates for doctoral degrees are inordinately dependent on others for direction. We believe in a wide range of instructional materials but the textbook predominates at all levels of instruction. Innovations which appear to be highly imaginative on paper often look like "the same old thing" when, presumably, they have been implemented.

The Institute for Development of Educational Activities, Inc., (|I|D|E|A|) was created because the Trustees of the Charles F. Kettering Foundation desired to accelerate the process of educational change. With headquarters in Dayton, Ohio, under the direction of Dr. S. G. Sava, |I|D|E|A| spreads nationally across a range of research, development, demonstration, and dissemination activities. The key word in all of these is "change."

Educational institutions and particularly large school systems appear to be so resistant to change that many reformers would settle for almost any kind of change on the assumption that a state of disequilibrium must be maintained or sterility inevitably sets in. The staff of |I|D|E|A| believes, however, that we should be able to go somewhat beyond "change for the sake of change." Some changes are better than others; some processes are more effective than others. Efforts to change should represent the best use of intelligence. Knowledge should raise the level of the practical use of intelligence in change processes.

Unfortunately, however, we know relatively little about change, whether in educational or other human affairs. Neither commitment to change nor frenzied activity designed to effect change has given us a viable body of knowledge about change. We go to still another conference, workshop, or institute knowing little about the effects or comparative effectiveness of any one of these. The Research and Development Division of |I|D|E|A|, located in Los Angeles adjacent to the UCLA campus, is currently deeply committed to the study of *planned* educational change.

The present thrust is three-fold. First, a small staff assists a group of schools to assume responsibility for self-propelling change. Second, another small staff "logs" the process in order to provide a case study of the difficulties in getting started, the obstacles which arise, the frustrations and disappointments, et cetera. Third, we are sifting through existing instruments and preparing others with a view to developing a comprehensive evaluation system which could be used by schools for taking stock and appraising progress. Our goal is to provide some generalizations and hypotheses about change. We plan to provide blow-by-blow lore about schools that try to change. Surprisingly, such lore is now almost non-existent. We hope that the schools central to the project and even neighboring schools will be better and more exciting places a few years from now, whatever their stage of development when we began.

The enterprise is far from casual. We were aware at the outset of some of the literature on change and resistance to change (see subsequent chapters). We began with and subsequently developed certain assumptions, most of which now appear to be far more complex than we had initially thought. It seemed to us that the local school, with its pupils, teachers, principal, and community is an appropriate—perhaps the most appropriate—unit for change.

Somehow, new ideas must get into the school and classroom or they remain largely impotent. We assumed, further, that the principal is in a leadership role where he can release the human potential of the school. At the same time, however, we agreed that such assumptions should be explored as hypotheses—hypotheses which might well be placed in doubt by contradictory evidence.

The strategy to date has been deliberate, but we readily admit it sometimes takes on the character of a drunken stroller crossing a busy intersection. (Our own tensions, insecurities, and uncertainties could make an interesting case study in change!) We have brought eighteen quite different schools from eighteen school districts into an agreement with |I|D|E|A| and UCLA, and call this new entity the League of Cooperating Schools. Clearly, it is more than just a conglomeration of schools, since two other kinds of institutions are involved. We refer to this set of relationships as a social system—an entity which is new but which is made up of parts in existence before the League was created. The use of the League in developing expectations for change, new catalytic relationships, activities, and rewards which did not exist before constitutes a strategy for change and a laboratory for the study of change. The project represents one of very few efforts to involve educators on the firing line with educators studying education in a sustained collaborative enterprise. The entire undertaking, whatever its weaknesses—and we are aware of many—represents an inquisitive response to B. Othanel Smith's thoughtful challenge:

> If a fraction of the money that is currently being spent to change educational practice were spent to find out how to succeed in making such change, a great deal would thereby be saved. Few things would be of greater significance today than for a group of behavioral scientists to work with a group of practitioners in an effort to change significant aspects of the educational system . . . Until we know far more than we know now, it is likely that we shall continue to waste many man-hours of time and countless millions of dollars in abortive efforts to modify educational practice.[1]

The League has actively sought to improve participating schools. Districts have made special provisions to facilitate change. |I|D|E|A| has sponsored a variety of services and activities to stimulate the inquiry into change. |I|D|E|A| with UCLA's Center for the Study of the Evaluation of Instructional Programs has worked on the development of instruments for the evaluation of school programs. School staffs have attempted to implement in fresh ways the concept of individualized instruction. As might be expected, the principals have been the focus of the expectations held by their school district offices, their faculties, their pupils' parents, their fellow principals, and the |I|D|E|A| staff. Small wonder that the pressure of these expectations produced problems. Fortunately, the principals did not allow the

[1] B. Othanel Smith, "The Anatomy of Change," *The Nature of Change*, Washington: National Association of Secondary School Principals, 1963, pp. 4-10.

difficulties to defeat them in their attempts at change. Meanwhile, the entire enterprise has been subjected to systematic study.

After those of us who are primarily concerned about this study of change had been involved in the enterprise for more than a year, we decided that it was time to stand back from it in order to gain the necessary perspective for critical appraisal. We wanted, somehow, to relate our initial assumptions to the ongoing, practical realities of the change processes in which we were involved, and to place the whole in a larger framework of understanding than any of the more precise conceptualizations guiding daily activity. We wanted to see both the woods and the trees and some of the configurations produced by combinations of trees.

I asked Jerrold M. Novotney, a member of the staff with a longstanding interest in processes of educational change, to chair a task force for the purpose of engaging in this inquiry. The charge was a very general one: take a look at what other students of change in various fields have learned to date (we already were familiar with much of the literature but had not pulled it together in any systematic way); take a look at how our own assumptions and beliefs hold up, both against this body of literature and against the processes in which we are involved; try to sort out from these analyses what might be termed our "present level of practical intelligence" with respect to understanding and effecting educational change. Neither Dr. Novotney nor I appointed the other members of the task force. It was to be an entirely voluntary group, motivated only by the quest, completely free from any and all administrative restraints and from any obligation to produce a tangible product. The quest was announced; a small group assembled and engaged in dialogue; the pages that follow emerged.

Substantial input came from several of the League principals who met concurrently in a series of informal meetings with a member of the staff from |I|D|E|A| .[2] These discussions revealed as many variances in their effort as there were individual principals and individual schools. They differed in the specific goals pursued, the methods used, and the difficulties encountered. They differed also in the success attained. Yet, when all of these were viewed sufficiently in the broad, all principals shared common concerns, common frustrations, common avenues to success, and common patterns of hope and despair. The commonalities are sufficient, we think, when related to the large body of inquiry, to suggest guidelines for principals and staffs interested in

[2]The principals were: Henry Behrens, Edison Elementary School, Santa Monica; Jarratt Brunson, Thomas Jefferson Elementary School, Pasadena; Lawrence Gritz, Chesterton Elementary School, San Diego; William Johnson, Park View Elementary School, Simi; Robert Lindstrom, Andres Arevalos Elementary School, Fountain Valley; Dale Merrill, Cucamonga Jr. High School, Cucamonga; Tom Phillian, Palm Elementary School, Riverside; Hugh Ryan, George Washington Elementary School, Corona; Earl Schauland, Fremont Elementary School, Delano; Sol Spears, El Marino Elementary School, Culver City; the Institute member was Donald A. Myers.

effecting change in their own school settings.

In the opening chapter, Kenneth A. Tye places the discussion of educational change within the context of system models. Within this framework, he discusses equilibrium, resistance, and strategies that facilitate change. In the succeeding chapter, Mary M. Bentzen takes a close look, still within the systems framework, at the demands that accompany the principal's role, the conflicts he faces, and how these demands and conflicts might be channeled and resolved. Then, Robert L. Sinclair examines the expression, requirements, and determinants of leadership behavior. Jerrold M. Novotney's chapter explores the meaning of staff involvement, the needs of individual faculty members, and the dynamics of group interaction. In the final chapter Donald A. Myers suggests that the principal's role is essentially that of a procedural task master. He reviews the responsibility attendant to this role and closes with a discussion of the issues governing a definition of it. Lillian K. Spitzer prepared the annotated bibliography on change which concludes the publication.

The authors of these chapters are grateful both to the principals who assisted so generously and to Henriette M. Lahaderne who participated throughout in the dialogue and who read the manuscript critically. The entire effort was guided and the manuscript edited by Jerrold M. Novotney.

Henriette M. Lahaderne, Donald A. Myers, Lillian K. Spitzer, and Kenneth A. Tye are full-time staff members of the Research and Development Division, |I|D|E|A|, Mary M. Bentzen and Jerrold M. Novotney are associated with both |I|D|E|A| and UCLA. Robert L. Sinclair, now with the University of Massachusetts was with |I|D|E|A| when the several chapters were written.

Our commitment to effecting and studying educational change and to the project which this publication reflects is a long-term one. Ultimately, we will report on the three-pronged project and its component parts. Meanwhile, however, we will continue to deliberate on educational change and to report periodically to various segments of the educational community. This monograph is addressed to those thousands of principals who have been given the opportunity to lead.

John I. Goodlad, Director
Research and Development Division
|I|D|E|A|

Education can be improved. The first step to such improvement is to understand the change process. A second step is to establish goals. Beyond that, one needs a will and a way of working.

CREATING DISEQUILIBRIUM

KENNETH A. TYE

- I do not think I would have made changes if it had not been for the League. My contacts with other League principals made me realize that the program in my school needed improvement.

- I would have changed some without the League, but not as much as I did. All of the talk about leadership made me look at myself and made me involve teachers more in planning.

- The League put us in a peculiar position. We asked, "What do you want us to do? You tell us, and we'll do it." Well, the consultants weren't talking. We waited and they still weren't talking. We finally had to make some changes.

These comments by educators involved in the everyday operation of schools are important indicators of the fact that *something* has to happen to

upset the normal routines of keeping school before teachers and administrators begin to act to set a new educational course.

A good deal has been written in recent years about what this something is. Unfortunately, there has been little empirical testing in the schools of variables involved in the processes and problems of educational change. Neither has there been a great deal of observation and/or description of what actually takes place in schools as they do change. These tasks are now beginning to be performed by such programs as the Research and Development Division, |I|D|E|A|, directed by John Goodlad, the National Institute for the Study of Educational Change (NISEC) directed by Egon Guba, the Center for the Advanced Study of Educational Administration (CASEA) at the University of Oregon directed by Richard Carlson, and the Cooperative Project for Educational Development (COPED) sponsored by the National Training Laboratories of the NEA.

Once such programs are ready to disseminate their findings, we will be in a far better position to make statements about how change does take place and, further, about how change should take place in the educational world.

In the meantime, we cannot sit idly by waiting for the research results. In the first place, these programs will not give us all of the answers we need. In the second place, there is theory and knowledge derived from the behavioral sciences, agriculture, and industrial management, some of whose meaning for education has been translated by numerous scholars. In the work of the theorists who have focused on the processes and problems of educational change, several key ideas appear and reappear. Each scholar may emphasize one or more of these ideas as he puts forward his own position; but, by and large, the practitioner can extract some guidelines from the existing body of change theory and knowledge and can apply these to understanding and improving his own situation.

An educational institution is an "open system." This is the fundamental idea underlying the work of those currently studying educational change and designing strategies for such change. An understanding of key notions about "open systems" will help us understand the problems and processes involved in educational change.

The remainder of this chapter is devoted to a discussion of school "systems" and to an exploration of two key characteristics of such systems. These characteristics are (1) the tendency of educational systems to maintain themselves in equilibrium, and (2) the tendency of individuals in the system to resist change. The chapter concludes with a brief discussion of strategies for overcoming these tendencies.

Open System Theory and Practice

A "system" is an isolated portion of reality. It is an *entity* made up of

interrelated parts which interact with each other. It has a *set of boundaries* which distinguishes it from its environment. An "open system" interacts with its environment.

The value of the "open system" view as explained by Chin,[1] is that it provides the practitioner with points of reference which he can use to relate happenings and events to theory. These points of reference provide insight into where and when changes can and should be brought about.

There are numerous "system models" in existence, each having its theoretical roots in one or another discipline. We have heard of social system derived from sociological theory, cultural system derived from anthropology, individual system derived from personality theory, et cetera. Although each of these orientations emphasizes specific concepts, all so-called "open-system models" have certain key concepts in common. The shared concepts help us to understand the change process in a variety of systems. They provide us with the points of reference to which the practitioner can relate.

Let us apply some of these concepts to our notion of school "system." A school "system" is an entity that has, among other characteristics, a given staff, an identifiable governing body, given resources, and unique functions which distinguish it from other systems such as city government, church, or family.

The system has territorial boundaries; that is, only certain persons may attend its schools, and only certain aspects of the environment are permitted to impinge upon it. The "system" has established procedures regulating the ways in which outsiders can influence the school. Formally, citizens can vote for school board members or legislators to carry out their wishes about the ends and means of schooling, and they can vote for or against school bonds or tax issues. Informally, they can use personal influence on members of the system. Numerous studies of community power have given us insights into such behavior.[2]

When individuals or groups in the environment make demands upon the system or when they vote increased financial support for the system, they are making *inputs* to that system. They are calling for change. Thus, any open system is in constant *interaction* with its environment and other systems within

[1]Robert Chin, "The Utility of System Models and Developmental Models for Practitioners," in Warren G. Bennis, Kenneth D. Benne, and Robert Chin (eds.), *The Planning of Change.* New York: Holt, Rinehart and Winston, Inc., 1961.

[2]See Warner Bloomberg, Jr., and Morris Sunshine, *Suburban Power Structure and Public Education: A Study of Values, Influence, and Tax Effort,* Syracuse: University Press, 1963. Ralph B. Kimbrough, *Political Power and Educational Decision-Making* Chicago, Rand McNally and Co., 1954. Richard F. Carter, *Voters and Our Schools,* Cooperative Research Project No. 308, U. S. Department of Health, Education, and Welfare, Washington, D. C.: U. S. Government Printing Office, 1960. Roland J. Pellegrin, *Community Power Structure and Educational Decision-Making.* Eugene: Center for the Advanced Study of Educational Administration, 1965.

that environment. Since interaction can be manipulated in a planned manner, it can serve as the basis for external change strategies.

Within the boundaries of the system is a variety of structures and processes which in the final analysis are the targets of those who wish to make changes. It is these structures andprocesses which are discussed in subsequent chapters in this monograph.

Studies of educational change show that it can take decades for proven innovations to be adopted by schools.[3] This is understandable in light of the school's function as a social institution. As such, it tends to do what it has been established to do and to hold itself stable, resisting attempts at restructuring. In "systems" language, it maintains itself in a state of equilibrium and formalizes and routinizes its structures, processes, and the behavior of its members.

Upsetting Equilibrium

The condition of equilibrium is present to some degree in every formal enterprise.[4] If the objective is to effect a change in an organization, this must be achieved by upsetting equilibrium, or creating imbalances in the organization.

There are two types of equilibrium we can consider in the change process. The first is static equilibrium, a fixed point or level of balance to which the system returns after some force impinges upon it. Thus, a board placed upon a saw horse so that it is in perfect balance is in equilibrium; tipped to one side, the board loses its equilibrium, but when it is returned to its original position it is back in equilibrium. However, if the same board is placed on a log and the board moved in and out of balance, the log will move forward, creating a type of "dynamic" equilibrium.

When a new organizational pattern such as nongrading is introduced into a school, a state of disequilibrium is created and those involved seek a new equllibrium which either can be "static" or "dynamic." For example, if the reorganization leads to a levels program where pupils are locked into classrooms by rigidly prescribed reading levels and where the function of the school is still seen only as "the coverage of certain amounts of subject matter," then the resulting equilibrium is a static one. The only real change is the substitution of the label "nongraded" for the label "graded." However, if the reorganization leads to a flexible program where pupils are grouped and regrouped on the basis of many factors (e. g., reading skill development, interest, maturation) and where there is a search for better curriculum and instruction practices, then the resulting equilibrium is "dynamic." The point is, as a sys-

[3]For example, see Paul R. Mort, "Studies in Educational Innovation from the Institute of Administrative Research: An Overview," Matthew B. Miles (ed.), *Innovation in Education,* New York: Teachers College, Columbia University Press, 1965.

[4]Lawrence W. Downey, "Direction Amid Change," *Phi Delta Kappan* (February, 1961).

tem—in this case, a school—reaches a new equilibrium following a period of planned disequilibrium, this new equilibrium should result in a higher level of attainment for the system.

Facing Resistance

A system reacts in a variety of ways to demands for change from both its external environment and its internal subsystems. In most instances, it resists demands in an attempt to maintain its equilibrium. It may do this by building structures for directing and regulating interactions or by assigning key persons known as "gatekeepers" who screen inputs to the system. In a school district, line and staff organizational patterns are established for decision-making and operation. Proposed changes often must receive approval at a number of levels within the system's structure—from the principal, the assistant superintendent, the superintendent, the board of education, et cetera.

Maintenance of the *status quo* is not always apparent in overt denial of changes. Often, it takes the form of minimum levels of cooperation, finding excuses, shifting blame, and dependence upon others for decision-making.

Resistance to change is apparent at all levels of a system. Teachers, for example, often resist change. Eicholz[5] gives a framework for identifying forms of teacher rejection of innovations (See Figure 1), which appears to be appropriate for administrators as well. It gives those interested in overcoming resistance some insights into possible strategies. The person who is uninformed, for example, should be approached differently than the person who is alienated.

Members of systems establish norms or expected behavior patterns which act to keep the system in equilibrium. These are often extremely powerful means by which the *status quo* is maintained and threatened change restricted. For example, the way to advancement within a school system is often through exemplary behavior directed toward achieving existing goals and utilizing existing means. The "maverick" who questions existing goals or uses different means may find himself moving to another system.

Norms may be supported by formally established rewards and punishments, such as new teaching assignments and promotion. Norms also may be supported by informal rewards and punishments, such as the reward of social acceptance for new teachers who adhere to existing procedures and practices, or the punishment of a new teacher through informal sanctions invoked against him if he advocates and practices working with small numbers of pupils after school where the norm is to "beat the children out the front door" at the end of the day.

There are many reasons for resistance to change. Resistance can occur simply because the need for a change is not understood. Change is perceived

[5]Gerhard C. Eicholz, "Why Do Teachers Reject Change?" *Theory Into Practice,* 2:264-68 (December 1963).

Forms of Rejection	*Causes of Rejection*	*State of the Subject*	*Anticipated Response*
Ignorance	Lack of dissemination	Uninformed	"The information is not available."
Suspended Judgment	Data not logically compelling	Doubtful	"I will wait and see how good it is before I try it."
Situational	Data not materially compelling	1. Comparing	"Other things are equally good."
		2. Defensive	"School regulations will not permit it."
		3. Deprived	"Costs too much to use in time and/or money."
Personal	Data not psychologically compelling	1. Anxious	"Don't know if I can operate equipment."
		2. Guilty	"Should use, but don't have time."
		3. Alienated	"These gadgets will never replace a teacher."
Experimental	Present or past trials	Unconvinced	"I tried them once and they aren't any good."

Figure 1.
A Framework for the Identification of Forms of Rejection

differently by individuals. It can be perceived as a threat to security. Changes often meet strong resistance when they are accompanied by an unnecessary amount of pressure, or are perceived as being made for personal desire and reward, or if there is a preoccupation with technical problems and methods at the expense of attention to social interactions.

As has been stated, systems maintaining themselves in equilibrium build a variety of structures for directing and regulating interactions. Obvious targets for those who wish to create appropriate disequilibrium are the structures which govern the interaction processes of the systems, such as channels of communication or routes of decision-making. However, alterations in structures and subsequent changes in interaction processes should be based upon

an assessment of their impact upon the entire system. The creation of excessive disequilibrium can cause a system to become dysfunctional.

External Strategies

As you will recall, the principals involved in the discussions on change indicate that "something" is happening to them. The "something" they refer to is their involvement in a program called "The League of Cooperating Schools." The League program is one approach to the creation of disequilibrium in a school system. It is one of a number of strategies that can be grouped together under the broad term *external strategy*. As this term implies, the initial force for change comes from outside the system.

The League strategy is only one external strategy which can be employed to create disequilibrium and overcome resistance. Miles, in Chapter 1 of *Innovation in Education,*[6] lists a variety of other programs which can be included under this grouping. Among these are the various national curriculum study groups such as the School Mathematics Study Group, the Physical Sciences Study Committee, the Biological Sciences Curriculum Study, and the various university-school cooperative programs such as the Wisconsin Improvement Program, and the Harvard University and University of Pittsburgh projects. In addition, the various supplementary centers, R & D centers and regional laboratories, established by the U. S. Office of Education can be counted as external strategies (although they run the risk of becoming institutionalized themselves rather than serving as temporary social systems).

Aside from being external to the regular education system, these strategies have other characteristics in common:[7]

- —They create an initial heightened uncertainty among participants. (Recall the comment of the one principal: "The League put us in a peculiar position. We asked, 'What do you want us to do? You tell us, and we'll do it.' Well, the consultants weren't talking . . . We finally had to make some changes.")
- —They identify shared goals. (In the League, one major identified goal is the development of self-renewing schools or schools which continually search for better solutions to identified problems.)
- —They establish procedures to move toward goal attainment within a given period of time. (In the League, principals and teachers have entered into more and more substantive dialogue about school organization, instructional strategies and curriculum development. The project has a 1972 completion deadline.)

[6]Matthew B. Miles, "Educational Innovation: The Nature of the Problem" Matthew B. Miles (ed.), *Innovation in Education, op. cit.,* pp. 1-48.

[7]Categories are derived from Matthew B. Miles, "On Temporary System," Matthew B. Miles (ed.), *Innovation in Education, op. cit.,* pp. 437-86.

—They change role definitions. (In the League, the new dialogue places the principal in a cooperative relationship with teachers rather than in a superordinate position. At the same time the teacher assumes more responsibility for decision-making. The entire school relies less on district direction and assumes responsibility for its own direction.)

—They change communication patterns. (In the League, a common language with such terms as nongrading, team teaching, individualization of instruction, interaction and dialogue is beginning to take hold.)

—They create a heightened awareness of both substance and process. (In the League, the discussions of change and change strategies, of team teaching and nongrading, and of student self-directed learning are initiated by members of the temporary system.)

—They change norms. (In the League, norms are moving toward rational inquiry into problems. They are moving away from convergent behavior patterns of the permanent system toward divergent patterns fostered by the temporary system. There is, in fact, a slowly emerging norm which is, simply, "change.")

Internal Strategies

There are change strategies which, for lack of a better name, can be called "internal change strategies." They are generated within the system, and deal largely with the interactions going on within the boundaries of the system. Because of the equilibrium-seeking nature of educational systems, however, and the resistances this sets up, such strategies are extremely difficult to implement.

Few school systems identify persons who have specific responsibility for bringing about change. More often than not, principals and supervisors are identified as both instructional leaders and administrators. These roles are in conflict.

—Leadership is the initiation of a new structure, or procedure for accomplishing an organization's goals and objectives, or for the changing of an organization's goals and objectives . . .

—Administration is utilizing existing structures or procedures to achieve an (existing) organizational goal or objective . . .[8]

Some systems, recognizing the conflict, are beginning to employ persons we call change agents or trainers. They act as catalysts, agitators, questioners, and as creators of awareness to change. They upset the equilibrium.

[8]James M. Lipham, "Leadership and Administration," *Behavioral Science and Educational Administration,* National Society for the Study of Education, Sixty-third Yearbook, Part II. Chicago: The University of Chicago Press, 1964.

Jung identifies several functions of the change agent within the school system:[9]

- —He relates to staffs or schools and to central administrators in identifying needs for providing training.
- —He provides demonstration of some skills.
- —He trains staff in some skills.
- —He makes support for training available (e.g., clerical help, released time).
- —He arranges staff access to other training resources (e.g., brings in trainers from outside for internal events, arranges involvement in outside training activities, provides materials for self-training).
- —He works to coordinate administration, research, and training as an integral part of the system's problem-solving procedures.

Perhaps the most promising strategy any system can employ in its efforts to upset equilibrium is to involve itself in action research. The pattern of action research involves the following steps:[10]

- —Identification of a problem about which an individual or group wants to take some action.
- —Selection of a specific problem and the formulation of a hypothesis which implies a goal and a procedure for reaching it.
- —Careful recording of actions (procedures) and accumulation of evidence to determine the degree to which the goal is reached.
- —Inferring generalizations from the evidence about the relation between the action and the desired goal.
- —Continually retesting the generalizations in other action situations.

For example, a school system might not be satisfied with the results of its present reading program. Through the analysis of test results and through discussion, it is found that, by the end of four years, approximately half of its students do not have adequate reading skills or the ability to apply reading skills to problem-solving activities. There are three obvious alternatives. First, the system can intensify its present efforts. Second, it can discard its present program and arbitrarily adopt a new program. Third, it can create a program of action research.

If the system selects the third alternative, it initiates the steps suggested

[9]Charles C. Jung, "The Trainer Change-Agent Role Within a School System", Goodwin Watson (ed.), *Change in School Systems.* Washington: National Training Laboratories, NEA, 1967.

[10]Arno A. Bellack, et al, "Action Research in Schools," *Teachers College Record,* 54:2460255 (1953). See also, Stephen M. Corey, *Action Research to Improve School Practices,* New York: Teachers College, Columbia University, 1953.

above. Once the problem has been identified, a hypothesis is stated: For example, if we use a language experience approach to reading, then at the end of four years students will develop more concepts through reading, will select more and better books to read, and 95 per cent of all students will comprehend at or above expectancy for their age level as measured by standardized reading tests.

Once procedures for the program are established and teachers are trained in their use, a group of children is selected for the program. Records are kept on classroom procedures, concept development of students is measured over the four-year period, records are kept of books read by children, and standardized tests are administered.

At the end of four years, the evidence is gathered and tentative generalizations are stated: For example, when the language experience approach is used with *a certain type of student,* concept development is greater and book selection is better, but comprehension as measured by standardized test results is not markedly increased. Further analysis might show, however, that little attention was given to the procedure of contextual analysis at later stages in the program, which would bear directly on comprehension. A linguistic program and a phonics program or combinations of various programs can be researched at the same time. Ultimately an action research approach to instruction can reap great rewards in the form of improved system outputs.

There is a variety of activities that can be used to create disequilibrium in a system that can be labeled either internal or external strategies, depending on circumstance. Here we will discuss several kinds of "influence" that can be invoked.[11] Obvious means of influencing behavior are coercion and reward. Advancement and manipulation of teaching assignments have already been mentioned as examples of rewards and punishments that a system can use.

Referent influence can bring about change. People have a natural desire to test their own attitudes, opinions, and behaviors on those with whom they identify. A system should select as change agents those who have both a disposition to change and a high "referent" rating among their peers, that is, those staff members who are both well-liked and respected for the knowledge they possess.

Expert influence is generally considered a weaker form of influence. The problem is that the receiver must view the "expert" as possessing superior knowledge or ability. Expert influence obviously is part of any external strategy.

Legitimate influence rests upon the receiver's perception that the agent

[11] John R. P. French and Bertram H. Raven, "The Bases of Social Power," Dorwin Cartwright (ed.), *Studies in Social Power,* Institute for Social Research, Research Center for Group Dynamics, University of Michigan, Ann Arbor: University of Michigan Press, 1959.

has the right to prescribe attitudes or behavior with which he must comply. He recognizes that those in leadership positions have "earned" the right to those positions and therefore have the right to set directions for change. Any change has a better chance of being brought about when the appropriate leader is behind it and actively promotes it.

Informational influence is related to the logic and rationality of the content of communication. If the content of an article or speech "makes sense," its chance of positive influence will be greater. Increasing the information flow is unproductive without increasing its quality.

Influence in strategy formulation should be considered in light of the strengths and weaknesses of the given system. Such questions as the following should be asked:

- —Is the content of the information we disseminate logical, and does it have impact?
- —Do those in legitimate positions of influence seek to foster rational change?
- —Do our reward systems foster a sensitivity toward identifying needed change, or do they foster a maintenance of the *status quo*?
- —Can we employ appropriate experts who will have an impact in helping us to change?

A system that wishes to encourage educational change will encourage cosmopolitan behavior on the part of its members.[12] A cosmopolitan person is one who is motivated to look outward for ideas and reference points. He is active in professional groups, he reads, he attends conferences, he visits and talks with others. In short, he is not satisfied to seek his answers only from within his own system. The system, then, should encourage conference attendance, intersystem exchanges of information, professional organization membership, visitations, community participation, reading, and travel. It should encourage divergent behavior and a spirit of inquiry in all members of the system.

Summary

We have discussed some of the processes and problems involved in creating disequilibrium in an educational system. The basic notion is that educational institutions are "open systems," and all "open systems" tend to maintain themselves in steady states—to keep their equilibrium. Because of this, they build a variety of mechanisms to resist influences which call for change.

We are beginning to evolve strategies which can be employed to create disequilibrium and bring about planned change. Some of the most promising

[12]Everett M. Rogers, *Diffusion of Innovations,* New York: The Free Press of Glencoe, 1962. See also, Everett M. Rogers, "What are Innovators Like," *Theory into Practice,* 2:252-256 (December 1963).

strategies approach the system from the outside by creating temporary new systems that cause people within the system to look outward for new ideas. We are also beginning to realize that strategies can be designed within the permanent system itself for creating disequilibrium.

Creating disequilibrium is similar to many other activities—a little bit goes a long way. A state of extreme disequilibrium within a system (i.e., conflict between subsystems) impedes planned change as much as does a state of equilibrium. There are guidelines we can follow to design change strategies that will create a necessary disequilibrium, while at the same time protecting us from chaos. The following are examples:

- —*Become aware.* Every member of the system has responsibility for inquiring into new ideas and innovations which can improve the system program.
- —*Enter into dialogue.* Open channels of communication, a general climate of freedom, and interpersonal trust among all members of the system allow for a free flow of ideas, questioning, and mutual concern for improvement. Similarly, open channels between the system and its environment are important.
- —*Diagnose needs and problems.* Change should be responsive to the most important needs of learners and to problems which impede learning. It is important to clarify problems prior to identifying solutions.
- —*Examine goals.* A clearly stated set of goals is not sufficient. Are these goals appropriate to needs and problems? Are some goals inappropriate?
- —*Set priorities.* Not all problems can be dealt with at once. Criteria need to be established by which rational decisions about priorities can be made. Needs and available resources are examples of criteria.
- —*Decide.* In light of the numerous alternatives available and the priorities established, those alternatives for change should be selected which seem most likely to produce positive results. Those who are involved in the consequences of decisions should be involved in making decisions.
- —*Plan and organize.* Planning includes anticipating results and consequences of innovations on the system, on individuals, and on the environment. Planning also includes the consideration of time, human and physical resources, objectives, and evaluation procedures.
- —*Pretest the innovation.* Often specific problems can be avoided or overcome through pilot programs. If an innovation is not successful, it can be disruptive and expensive.
- —*Evaluate.* Often an innovation will have consequences for more than the one aspect of the program to which it is directed. Improved elementary school mathematics has implications for secondary school mathematics, for example. Standardized tests are not our only tools for evaluation. Observations, anecdotes, interviews, and other techniques can be used. Eval-

uation should be continuous. Often there are short-term goals, intermediate goals, and long-range goals, the attainment of which should be measured.

– *Revise.* Revising an innovation to improve its effectiveness implies a repetition of most of the steps described above.

We in education have many tools at our disposal for bringing about educational improvement, and more are being invented all the time. In the final analysis, it is up to educators to create their own disequilibrium and overcome their own resistances to change.

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A principal cannot be all things to all men. He must walk the middle road between what others expect and what leadership demands.

CONFLICTING ROLES

MARY M. BENTZEN

The preceding chapter discussed the school organization as a "system." A system may be thought of as a pattern of relationships among activities. A person's "role" in an organization is made up of the activities he regularly carries out in his relations with other people in the organization.

The principal's role is one of many within the school organization. There is also a teacher's role, a superintendent's role, a custodian's role, and so forth. Persons in the organization expect these roles to be played in certain ways. Everyone has some ideas about what the principal should do and should not do, and everyone communicates these expectations to the principal, either directly or indirectly. The people who let the principal know how they expect him to behave may be called "role-senders." In addition, the principal has his own ideas as to how he should behave.

The principal sorts out all of the information he receives and then acts in certain ways. His actions are his "role behavior." If everyone connected

with the school sees the principal's role in the same way, the principal may not have any problem in deciding how to behave. However, it is much likelier that the principal will have to deal with several different notions of how he should behave.

Who are these other people whose expectations the principal must take into account? There are at least four groups of role-senders:[1]

1. Higher administrators
2. Teachers in his school
3. Other principals
4. Parents and others in the community

It is clear that there is plenty of room for conflict in the principal's role even when the principal simply tries to maintain the same situation, that is, when the system is in relative equilibrium. Different role-senders may have different expectations of him; he may pay attention to some of these role-senders and ignore others; his role behavior may have different effects on different role-senders, and so on.

We will consider here three kinds of role conflict which were experienced by principals in the League of Cooperating Schools:

I. *The outside intervention agent becomes an additional role-sender, whose expectations may be in conflict with those of other role-senders* (between-senders conflict).

How does this conflict appear in real-life terms? Let's look at what principals said.

Principal A: "I'm new at this job. It's hard enough for me to carry on what's been done before—like the superintendent and parents and teachers want—without trying to change. What do you want me to do?"

Principal B: "Listen, I got this job—I was chosen as a League principal because I was a good organizer. Now you want me to rock the boat?"

Principal C: "There's no use trying to push new ideas if maybe you could get the parents to ask for them first. You want me to take the chance of turning them against me?"

Principal A is young and new at the job. He's trying to learn the ropes, to figure out what is expected of him by the people who hired him and the people with whom he must work. Now he finds himself with another role-sender, the outside intervention agent, who expects him to initiate change in his school. Principal A doesn't know the situation well enough to identify the points of conflict between the expectations of the outside agent and the

[1]The pupils are another important group for the principal to consider, but their expectations about the principal's behavior are not included in this discussion.

people in the school, but he is uncomfortable because he suspects that conflict does exist.

Principal B, on the other hand, knows where the conflict lies. He has been successful in the system and feels that his success came because he didn't rock the boat. As a reward for having met the expectations of higher administrators, he has been given a special position—his school is to be an experimental school. He now must take account of a new set of expectations. He discovers that the outside agent expects him to rock the boat. To Principal B, these expectations are clearly at odds with what has spelled success in the past. Yet in his new position he cannot ignore these new expectations.

Principal C sees the expectations of the outside agent in potential conflict with the expectations of another important group of role-senders, the parents and community. Principal C is not opposed to change; he gets his cues from the community about how to change. The community expects him to turn to them, and Principal C hesitates to stray too much from their expectations.

A special case of conflict exists when expectations from different role-senders are at variance with the principal's own expectations for his role behavior. Principals said:

> I'd like to see some changes here, but the teachers have to do it. You tell me I should be an instructional leader, but I'm not. I don't know that much about what goes on in the classroom.
>
> You're telling me to start some changes. The superintendent tells me that he expects this, too, and my teachers are asking me to tell them what to change. But I say that change has to come from the teachers. I won't stand in the way, but don't look to me to be a leader.

These two principals see their role as administrative head of the school, but they do not feel able to take on another kind of leadership function. Furthermore, they think that initiation of change properly lies with teachers. Here is a situation in which some of the principal's role-senders expect him to behave as an initiator of change, but he sees this behavior as part of someone else's role.

II. *Two or more of the expectations of a role-sender seem to the principal to be in conflict with each other* (within-sender conflict).

Here the principal does not feel caught between two role-senders, but he feels that the outside agent—or it might be a role-sender within his school district—is asking him to do two things which are incompatible with one another.

> You want me to be carrying on a continuous evaluation of my teachers and our program. But then you tell me that I should get the trust of my teachers—listen to their problems. You think they'll confide in me if they

know I'm evaluating them?

So I'm the one who's going to be held responsible for bringing about change. But I'm also supposed to have my teachers participate in decision-making in the school. Looks like I'm going to be responsible for something I can't really control.

The first principal cannot reconcile two different kinds of behavior with his teachers. He cannot be both objective and subjective at the same time. He feels he will be unsuccessful if he tries to be one way one time and another way another time. The second principal is uneasy because he is being asked to share decision-making but not administrative responsibility.

This is a common first reaction to expectations for change. The principal tries to put the requested new patterns of behavior into old molds and finds that he can't make them fit. As a result he perceives the role-sender who is asking for change as asking for the impossible.[2]

III. *The principal feels that the expectations of the role-sender who is asking for change are not specific enough.*

The comment here is: "Just tell me what you want me to do!"

In his regular position in the system, the principal knows what is expected of him. Now someone—often the outside intervention agent—is asking him to initiate change, but is not stating specifically how the change should be brought about. The principal is not certain that he is meeting the expectations of this role-sender. Also, it is difficult for him to spot potential conflicts between these expectations and the expectations of other role-senders.

The problem of nonspecific role expectations seems to be basic for all principals who are placed in an innovative position. The principal knows that he is *supposed* to be innovative, but he doesn't know what this means in terms of his behavior. He has been accustomed to being told what to do, so usually he reacts by asking for more direction. He asks the role-sender who is pushing for change to spell out exactly what is expected.

If the role-sender does this, the principal can then look at these new expectations in comparison with others he is receiving, and decide which ones he will take account of in his role behavior. In the League of Cooperating Schools group, however, the outside intervention agent stated only general guidelines for initiating change. This strategy forced the principal to assume increasing responsibility for determining his own behavior.[3]

[2]Within-sender conflict is not always due to the inaccurate perception of a principal who is new to change. It may involve very real incompatible expectations. ("Be creative, but don't do anything different.") We are confining discussion here, however, to only one aspect of within-sender conflict, which is characteristic of change effort.

[3]The same pattern showed up with teachers in the League. When principals asked teachers to plan innovative programs, the first reaction was to ask for direction. If the principal refused to dictate behavior, the teachers gradually made their own decisions.

Resolution of Role Conflict

While disequilibrium may be a necessary condition for change, the conflicts produced by new role expectations must be resolved in the course of finding a new point of equilibrium. How might the three types of role conflict described above be resolved so that the principal can act as a change agent?

1. *Conflict between senders:* The expectations of the role-sender who is asking for change are in conflict with the expectations of the principal's other role-senders.

In the examples given above, it was the outside intervention agent who was asking for change. However, a role-sender within the school sytem might also hold change expectations (see "Internal Strategies," Chapter 1).

How do people tend to solve the problem of conflicting expectations from different role-senders? One group of theorists[4] has described three general orientations to the resolution of role conflict. Persons with a *moral* orientation respond primarily to the legitimacy of the expectations; that is, they tend to accept only expectations which they feel the role-sender has a right to hold. An *expedient* orientation predisposes people to accept or reject role expectations according to the power to reward or punish that they attribute to the role-sender. A mixed *moral-expedient* orientation means that both the legitimacy and the power behind the conflicting expectations will be weighed.

Not all cases of conflicting expectations will offer clear-cut choices. Perhaps both the conflicting expectations are legitimate or both are backed by considerable power. In these instances, we suggest that the individual will tend to accept those expectations that are closest to his own conception of his proper role behavior.

Under what circumstances will a principal resolve conflict between role expectations in favor of the expectations for change? If a principal is orientated to a *moral* acceptance or rejection of expectations, he might be sensitive to expectations for change which come from a superintendent who has a right to direct, or from parents who have a right to press for the education they want for their children. However, an outside intervention agent might have trouble with this type of principal who may feel that a person outside his system has no right to expect different behavior from him. To be effective, the outside agent would have to establish justification for his expectations, perhaps by playing up his expertise as an educator and his main motive as the improvement of education.

If the principal is orientated to an *expedient* acceptance or rejection of

[4]Neal Gross, Alexander McEarchern, and Ward Mason, "Role Conflict and Its Resolution," Bruce Biddle and Edwin Thomas (eds.), *Role Theory*, New York: John Wiley and Sons, 1966.

expectations, he will look for the greatest rewards or the least punishment. Several types of role-senders have the power to sanction and withhold. A superintendent or a powerful group of parents is in a good position to get the principal to meet their expectations for change since they command large sources of rewards and punishments. (Obviously, they are also in a position to block expectations for change from other role-senders.) Teachers and other principals have a degree of social and professional power. An outside intervention agent may also appear as a source of rewards in the form of additional resources or increased professional prestige. Just whose expectations will in fact be met depends upon the relative power which the principal attributes to all these role-senders (although attributed power is not always the same as actual power).

As suggested above, if the balance between *moral* and *expedient* considerations is in question, the principal may resolve the conflict by honoring those expectations which most nearly match his own ideas about how his role should be played. We will discuss this in a later section.

2. *Conflict within a sender.* Expectations of the role-sender asking for change seem to be at odds with one another.

Several alternatives are open to the principal who sees this kind of conflict. He may label the role-sender as unreasonable and ignore him. He may choose to pay attention to only one of the apparently conflicting expectations. Or he may engage in discussions with the troublesome role-sender in order to come to an understanding about how these expectations might be reconciled.

If a principal chooses the last course, it may be necessary to improve the interpersonal relations between the principal and the role-sender so that frank discussion can take place. Several aspects of interpersonal relations may affect attempts to bring about frank discussion:

(a) the relative abilities of the principal and the role-sender to influence each other;

(b) the affective bonds, such as respect, trust, and liking, that exist between them;

(c) the degree to which they depend upon each other;

(d) the style of communication between them.[5]

How might these aspects of interpersonal relations help or hinder the creation of conditions for open discourse between a principal and his role-sender? First, if the role-sender is above or below the principal in the hierarchy of the school system, the unequal power they have to influence each other may inhibit frank discussion. If the role-sender is outside the system, this factor is minimized.

[5] Adapted from Robert Kahn, et al, *Organizational Stress,* New York: John Wiley and Sons, 1964.

Second, affective bonds are probably stronger between a principal and other role-senders within the school system than between a principal and an outside intervention agent. However, if these bonds are negati-, it may be extremely difficult to reach a new understanding. Here agai- outside intervention agent might have an advantage. He starts with a clean slate, as it were, in addition to credentials which command respect.

Third, degree of dependence on one another is probably greater for a principal and a role-sender within the school system. High mutual dependence is likely to result in the parties seeking ways to resolve the conflict.

Style of communication may be the most important aspect of resolving the conflict. If communication between principal and role-sender is already easy and nonthreatening, the conflict may be short-lived. If the established communication pattern is formal and infrequent, it may be extremely difficult to bring about the necessary dialogue.

Through discussions, the principal may learn to see the expectations of the role-sender in a new way. The apparent conflict may disappear. The principal may come to find great satisfaction in awareness of his own professional growth.

3. *Conflict resulting from lack of specific expectations from the role-sender who is asking for change.* The principal cannot get clear directions.

This kind of conflict, or ambiguity, may be quickly resolved if the role-sender consents to give specific directions when the principal asks for them. If the role-sender will not do this, the principal must rely on his own judgment in making decisions about how he will or will not carry out the expectations for change. What will influence the decisions he makes? A principal's *reference groups* may be highly influential.

There are two kinds of groups that have been described with the term *reference group.*[6] First, a reference group may be a group which helps to shape a person's attitudes about something. What might be reference groups for principals as they decide how they will handle a general expectation for change? For principals who have administrative career aspirations, the district administration might serve as a reference group. A principal's interpretation of the general expectation for change would be influenced by what he believes is acceptable to higher administration. The district administration is his reference group for deciding the kind of change and the extent of change that he will initiate.

Another reference group for some principals is composed of professional

[6]These groups are described more fully in Harold H. Kelley, "Two Functions of Reference Groups," Fay E. Swanson, et al, *Readings in Social Psychology,* New York: Henry Holt, 1952.

leaders in education. A principal may see himself as sharing values with the "experts" in education. To the best of his knowledge then he would try to carry out expectations for change in line with what these experts would recommend. Often, an outside intervention strategy is built on attempting to get a principal to change his reference group from, let us say, his district administration to professional leaders in education.

Second, a group with which an individual compares himself in making self-evaluations is also called a reference group. Commonly, a principal may use the other principals in his district as his reference group in deciding how successful he has been in initiating change. In a rather traditional district, a principal might feel that he had satisfied his role-sender's expectations after making a few minimal changes. Compared to other district principals, he has done a lot.

In the League of Cooperating Schools, however, the whole group of League principals came to be used as a reference group for self-evaluation. In comparing his behavior with this group, a principal tended to feel that continuous effort was required to meet the expectations for change. This probably also happens to a principal in a change-oriented district who uses other district principals as his reference group. That is, when the reference group is composed of people who are actively engaged in change, a principal will feel he has to accomplish more than token changes to meet expectations.

In summary, principals who receive non specific expectations for change from a role-sender use reference groups to decide both what to do and how well the expectations have been realized.

Conclusion

The types of role conflict discussed here by no means exhaust the possibilities. These three kinds of conflict, however, seemed salient for the change-oriented principals whom we observed.

If there is one theme which runs through the genesis and resolution of these role conflicts, it seems to be communication. Conflicts often arise because of poor communication between the principal and his role-senders. Lack of communication may sometimes mean that a role-sender is not even aware of the fact that the principal is experiencing conflict. Simply increasing the amount of communication, however, is not always a solution to a conflict. Quality of communication may be more important.

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To be an effective leader, the principal must be knowledgeable of the range of leadership behavior available, the priority responsibilities of his role, and the nature of the forces influencing his actions.

LEADERSHIP CONCERNS

ROBERT L. SINCLAIR

- My biggest change has been to adapt myself to be a less authoritarian principal, to get teachers to answer their own questions, and to let them make the decisions.
- I thought we had free discussion in our school, but we don't if teachers are still doing what they think I want them to do.
- I'm secure in the decisions I'm making; I don't want to involve teachers.
- There was a time when I would have taken personal offense at their comments. Now I take their suggestions without feeling personally hurt.
- Letting teachers learn from their own mistakes has taken longer than I had hoped, but now I feel strongly that it has been worthwhile.
- We have lots of dialogue all right, but sometimes I wonder if we're producing, if it's leading anywhere.

Principals attempting to introduce innovations into elementary schools are likely to find the statements above familiar. The statements represent personal disclosures of feelings and ideas about what happens to a principal when he provides leadership for bringing about change. Some of the comments imply growth and improvement, others suggest frustration and resistance. Yet one common theme of the testimony is the leadership behavior of the principal as he relates to his faculty. The modern principal is concerned about his leadership behavior, and this concern generates many questions relevant to the dynamics of leadership. In this chapter we will consider three such questions.

- Should leadership behavior be authoritarian or permissive?

Today many educators consider the principal to be in a salient leadership position for influencing the adoption of innovations. The complex problem of how the leader can be effective in bringing about change is receiving increased attention by scholars.[1] Strategies for fostering change now emphasize the importance of subordinate involvement and participation in decision-making, and its theory challenges the rationality of highly directive leadership.[2] The principal who successfully fosters innovations in the elementary school is not a lone leader impressing his decisions upon his faculty; rather, he provides teachers with opportunities for leadership by involving them in the decision-making process of the school. However, the need for including teachers in decision-making in order to promote change does not mean that a principal's behavior must always approach permissiveness. Before a principal acts he should consider the total range of leadership behavior available.

The continuum or range of possible leadership behavior is illustrated graphically by Tannenbaum and Schmidt. Each type of behavior is related to the degree of authority used by the principal and to the amount of freedom available to his teachers in making decisions. The behaviors on the extreme left characterize the principal who maintains a high degree of control while those on the extreme right represent the principal who provides freedom for the teachers.

The continuum describes a number of alternative ways in which a principal can relate to the faculty he is leading. At the extreme left, the principal's thoughts and perceptions determine decision-making. Moving toward the right, decision-making is increasingly determined by the teachers' thoughts and perceptions. Leadership should not be stereotyped as either forceful or permissive. Rather, leadership should be viewed as a process consisting of a range of possible alternative behaviors. The effective principal

[1] Warren Bennis, Kenneth Benne, and Robert Chin (eds.), *The Planning of Change,* New York: Holt, Rinehart and Winston, Inc., 1961.

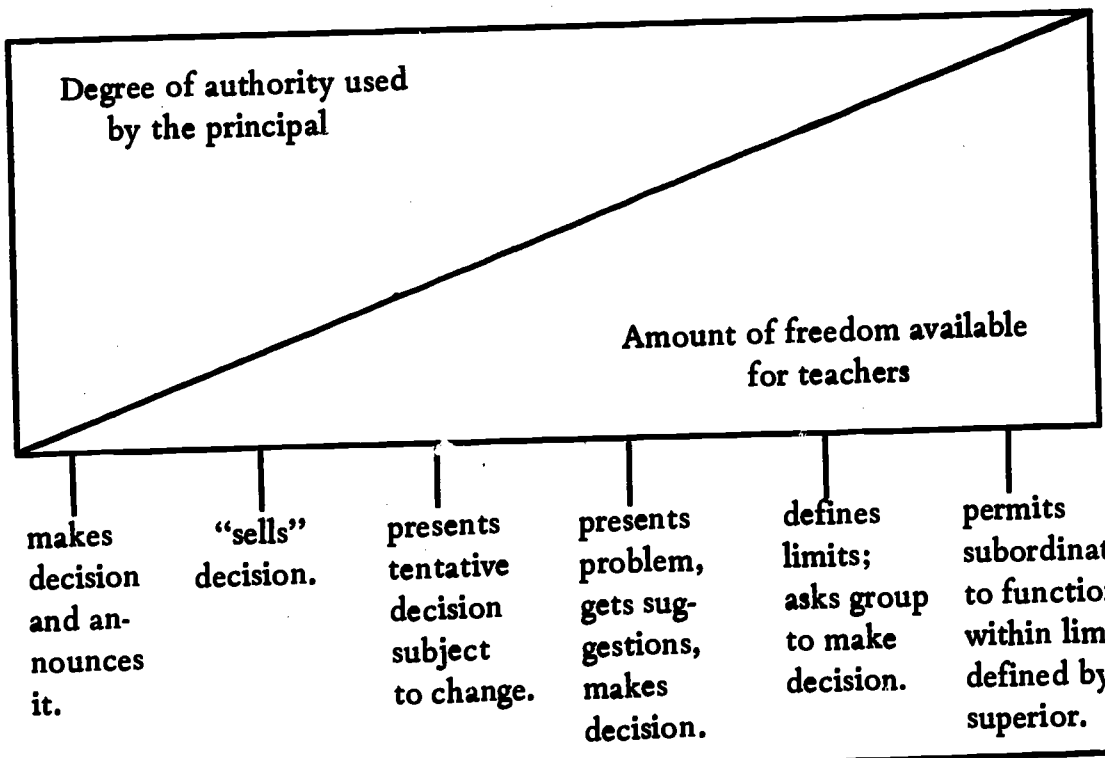
[2] For an excellent overview of the issues involved in the authoritarian or permissive leadership question, see Theory X and Theory Y advanced by Douglas McGregor, *The Human Side of Enterprise,* New York: McGraw-Hill Book Co., 1960, pp. 33-45.

chooses a behavioral alternative appropriate to the demands of each task he encounters.

CONTINUUM OF LEADERSHIP BEHAVIOR [3]

Principal centered leadership →

← Teacher centered leadership



It is difficult for a principal to determine the degree to which leadership should be centered on himself or on his teachers. He may think that the teachers should help make decisions. At the same time, he feels that he understands a problem better than the faculty and the decision should be his

[3] Adapted from Robert Tannenbaum and Warren H. Schmidt, "How to Choose a Leadership Pattern," *Harvard Business Review*, Vol. 36, No. 2 (March-April, 1958), pp. 95-101.

responsibility. Also, there are times when he may want to hear all points of view before making a decision, but he thinks it would be inefficient to spend all the time this would require. A principal who finds himself in such a dilemma may be pushed in different directions of leadership without having sound reasons for his actions. He can, however, gain insight into his behavior choice by understanding the nature of the leadership responsibilities he has when guiding a faculty toward change.

- What description of leadership is relevant for the innovative principal?

Leadership involves not only the immediate relationship of principal and teacher, but includes all aspects of group life and group management. One cannot talk about leadership without describing the group being led and the situation encountered. The following description emphasizes the fundamental leadership responsibilities of the innovative principal.

Leadership for the innovative principal is a process of stimulating and aiding groups of teachers to determine common objectives and to voluntarily design means for moving toward their achievement. The leader, in other words, provides facts and ideas, and makes decisions which help the group to intelligently define and reach objectives. The various leadership acts involved in this process help teachers realize their creative capacities and stimulate the productive use of their energies.

Although leadership behavior is in part dependent upon the uniqueness of the group situation, there are fundamental aspects of leadership to which a principal must be sensitive. The principal needs to become familiar with the potentialities and characteristics of the individuals being led. He must perceive problems that face the teachers, and determine whether a solution falls within group capabilities or outside its range. Group members look to the principal for recognition and treatment according to their individual needs; it is the principal's responsibility to mold the group into a unit that can accomplish established ends and at the same time satisfy individual desires.

Principals can simplify or complicate group operations. Sometimes they make it uncomfortable by their permissiveness; at other times, they arouse animosity by their dictatorial nature. How the principal is perceived by group members is very important. Often, it is the individual follower who, on the basis of his perceptions, accepts or rejects leadership. The principal is more likely to be effective if he is perceived as symbolizing the values and purposes of the teachers he leads. There must be a clear identity between group members and the principal. If teachers perceive the principal as being too different from themselves, they may think that they will not be represented properly, or that communication with the leader will be threatening or difficult. This does not imply that a principal and teacher must be identical in character and capabilities. Rather, it suggests that differences must be of degree and kind that are acceptable to the group.

The future of the group is a vital concern for the principal. He must be sensitive to the long-range perspective of how the group will continue to meet the members' needs, and how members will overcome future difficulties that might interfere with the group's purposes. In short, the principal must anticipate problems and alternative solutions. He should be able to take steps to overcome forces which threaten the security or the success of the group, or possibly even to use these forces to the advantage of the total group enterprise. Seeing a situation in a broad perspective makes it possible for the principal to initiate actions that encourage others and involve them more deeply in group operations. And the principal should realize that as teachers become more deeply involved in group activities it is necessary to share his authority with them. He cannot permit his personal needs for control to block delegation of authority or relinquishment of decision-making power.

The principal must consider numerous other aspects of leadership behavior. He must be willing to assume responsibility, take initiative, and plan and carry through tasks that need to be accomplished. This means that he has to accept the possibility of failure as well as success. He must be able to tolerate a high degree of tension. Organizational pressures often result in group frustration and hostility, and the principal's degree of commitment and rationality may be severely tested. The same is true for his tolerance of isolation. As an individual steps out to lead he becomes distinct from the rest of the group, more vulnerable, and lonely. Finally, communication skills are meshed with effective leadership. The objectives of the group must be stated so members will see in which direction the group must move. The means to achieve the goals must be spelled out so that unity of action can occur. This is the principal's responsibility.

This description of leadership behavior includes the major aspects of the role of the innovative principal. The principal who is knowledgeable of his role gains insight into leadership dilemmas because he is better able to determine the degree to which he should control decisions. However, determining appropriate leadership behavior is extremely complex, and it demands sensitivity to more than the leadership role. The principal interested in maintaining appropriate behavior must also be aware of the the forces that influence his actions. If he can understand what makes him prefer to act in a particular way, he may use this understanding to make himself a more effective leader.

- What are some of the forces that might affect the leadership behavior of the principal?

Among the more important forces contributing to his behavior are the school and the principal's personality.

The School

Schools have set patterns or norms that influence the behavior of the principal. These norms exist because they contribute successfully to the school's present operations. Particular types of behavior are accepted in the school, and if the principal deviates from the norms he usually meets with resistance. In some cases he is influenced by the expected behavior to such an extent that he loses his personal identity. The school creates a network of determinants which cause the principal's behavior to be inconsistent with his preferred personal strategy for action. There is often a marked discrepancy between what the principal believes to be right and desirable as opposed to what is required by the institution.

The innovative principal, in particular, is often in a position where school determinants and his own particular ideas or strategies for action are conflicting. For example, will he subscribe to the school's conventions of competition, efficiency, traditional procedures and tasks, and one-man decision-making; or will he encourage cooperative involvement, airing of all points of view, participative decision-making, and shared responsibility? Stogdill suggests that when faced with conflicting pressures, the leader may either conform to one or the other set of expectations and prepare to take the consequences; or, as is more likely, take a compromise position and attempt to reconcile conflicts.[4] Either alternative reduces the principal's capacity to exercise a high degree of imagination, ingenuity, and creativity in leadership. Under such conditions the potentialities of principals are only partly utilized.

As the organizational complexity of schools increases, the pressures generated become more restrictive; even the strongest-willed principal may find himself unable to exercise his unique and productive abilities. Institutional pressures, Jennings explains, can force the leader to place a high priority on subtle and inoffensive social engineering.[5] Human relations principles become a means by which the principal seeks to meet the needs and expectations of teachers, and also to cope with the determinants of his organization. As the principal becomes politically skillful in gaining support, popularity, and rapport, he moves away from substantive involvement and the initiation of change. He becomes interested in his own survival completely separated from his leadership resources as a unique individual. Under the image of "human relations practitioner" many principals sacrifice their commitment to critical thought and independent behavior.

[4] Ralph Stogdill, *Leadership and Role Expectations,* Columbus: Ohio State University, No. 86, 1956, pp. 1-9.

[5] Eugene Jennings, *An Anatomy of Leadership: Princes, Heroes, and Superman,* New York: Harper & Brothers, 1960, pp. 32-39.

The Principal's Personality

Although a principal functions as a specialized part of a school, he also has personal needs. While working with the human materials around him, he must work with the human materials in himself. Zaleznik suggests that many of the dilemmas leaders face in choosing appropriate behavior are the result of their own inner conflicts.[6] Competition and status are common types of internal personality conflicts.

The principal operates in a competitive environment and his behavior is often affected by inner conflicts resulting from competition. Zaleznik suggests that if a leader does not resolve his concerns with competing he will develop a fear of failure.[7] Setting unrealistic standards of performance or competing internally for unreachable goals can cause a principal to feel that whatever he undertakes is destined to fail. Instead of risking failure the principal is likely to assume anonymity, and a behavior that communicates resignation and noncommitment.

Competitive conflicts also are associated with success, and the result may be the same behavior that is associated with failure. The principal's initial success in bringing about change results in increased exposure; as he takes a position on controversial issues or supports a stand, he becomes a target for criticism from teachers, parents, and fellow principals. A principal, foreseeing that his actions will result in criticism, may hesitate to make decisions that have far-reaching implications. To avoid criticism the principal may move from problem to problem without reaching solutions, and again the result is a behavior of noncommitment.

Also, a principal may feel that his success is achieved through the displacement of someone else. The idea of success is associated with feelings of guilt and the urge to reverse the behavior that made it possible. When the principal is about to reach a goal, he deliberately prevents its fulfillment in order to avoid the success that may generate feelings of guilt.

Status conflict, which may also generate guilt, may arise when a principal realizes that he is exercising power over teachers who are more capable than he, or when he realizes that differences in status make it impossible to treat his teachers as equals. Followers find it easier to take directions from a leader whom they consider superior. Yet, a principal cannot let teachers think they are inferior. The principal is forced to maintain psychological distance that permits acceptance of leadership without resentment.

As soon as a principal begins to achieve success and recognition, he is ripe for status conflict. He becomes torn between the responsibilities of

[6] Abraham Zaleznik, "The Human Dilemmas of Leadership," *Harvard Business Review*, Vol. 41, No. 4 (July-August, 1963), p. 50.

[7] *Ibid*, pp. 52-53.

acquired authority and the strong need to be liked. Those principals in the school district who formerly served as models now view him as a contender. At the same time he no longer enjoys the open friendship of his previous peers or his teachers. The following memorandum from an individual rapidly becoming a recognized innovator serves as an example of status conflict.

> I am beginning to find myself in a "time" bind. The many activities we presently have underway seem to be more demanding than was anticipated. Reluctantly, I am asking you to make an appointment with my secretary, if you have to see me. Please do not construe this as the beginning of a "closed-door" policy. You must feel free to see me about anything when necessary. The appointment system is, I hope, an attempt to assure you that I will be able to spend some time with you without interruption.

How does status conflict affect leadership behavior? Sometimes principals try to discard all symbols of status and authority, playing up their likeability. As they remove social distance in the interests of likeability, they not only reduce work effectiveness, but the original intention of their behavior is often lost. Teachers, instead of meeting the principal's need to be liked, gradually come to harbor feelings of resentment and anger toward him because his behavior inadvertently supplies a negative picture of what they perceive the leadership role should be.

Competition and status serve as examples to show that the principal's inner forces are determinants of leadership behavior. It is extremely difficult to separate inner forces from those residing in the realities of the school. The innovative principal, however, must seek insight into both himself and the values and traditions at work in the school setting.

Summary

Principals are concerned about leadership. They are sensitive to the complexity of the leadership behavior necessary for initiating innovations. To be an effective leader, the principal must be knowledgeable of the range of leadership behavior available, the priority responsibilities of his role, and the nature of the forces influencing his actions. The better the principal understands these factors, the more accurately he can determine appropriate leadership behavior that will enable his teachers to act more creatively and productively in the accomplishment of educational change.

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Change will occur when a principal creates new horizons for his teachers and involves them actively in seeking the sun.

STAFF INVOLVEMENT

JERROLD M. NOVOTNEY

Change frequently moves school personnel from a situation that is known and comfortable into one which is ambiguous and threatening. The only real antidotes are individual commitment and the spirit of cooperation through staff involvement. The creation of these forces poses a major challenge for a principal attempting change.

Commitment

> Pressure—yes pressure—is important here. The pressure of |I|D|E|A| on the principals, the pressure of principal on principal, the pressure of the district superintendent on the principal, and—interestingly—the pressure of teachers on the principal and superintendent. Commitments were made all along the line.

The point being made by this principal is that as forces begin to be exerted to energize the change process, the demand for commitment becomes

more widespread. Commitment here means the pledging of self or resources for the success of an undertaking. Without such a pledge by a majority of the staff, basic changes cannot be accomplished, and resistance may result to actually impede progress.[1] Firm commitment, on the other hand, makes it possible to operate under the principle, "What will further the cause, will be done."

How can a principal secure staff commitment? Commitment only occurs when an individual is intellectually and emotionally moved to action by a motivating force. This force may be any inner striving, such as a wish, a desire, a need, or a drive which activates the individual to move toward certain goals.[2] Knowing this, the principal-change agent will always consider the human elements involved in the change process; specifically, he will make it his business to inventory the individual needs of his staff:

1. to acquire and protect material objects;
2. to express ambition or willpower and to achieve prestige or recognition;
3. to exert, resist, or yield to the expression of power;
4. to be aggressive or self-abasing;
5. to give and receive affection as expressed by the desire for affiliation with or protection of another human;
6. to engage in social activities, such as play, instructional interaction, and so forth.

These needs are universal and their satisfaction is a prime motivating force in causing people to become involved in an endeavor. A principal should assess his staff in terms of their exhibited needs early in his change attempt; he should make appointments to committees, individual staff appointments, and delegate authority on the basis of individual needs wherever feasible.

Motivation is the principal-change agent's first, continuing, and most important concern. People perform best when motivation is high. Research suggests that the energy expended on specific tasks is closely related to the strength of an individual's motivation, and that the highly motivated person will strive with greater vigor to circumvent, remove, or otherwise overcome any barrier between himself and his objective. The recognition and assessment of human needs go a long way toward preventing problems in change.

Communication

Communication is the means by which the principal builds motivation.

[1] D. Rosenthal and C. N. Cofer, "The Effect on Group Performance of an Individual and Neglectful Attitudes Shown by One Group Member," *The Journal of Experimental Psychology,* Vol. 38, (1948), pp. 568-577.

[2] Bernard Berelson and Gary A. Steiner, *Human Behavior.* New York: Harcourt, Brace & World, Inc., 1964, p. 240.

The necessity of clear and frequent communication has been mentioned elsewhere, but a discussion of the motivation process would be incomplete without touching upon it here.

To move toward an objective an individual has to perceive a relative value in doing so, which should be congruent with that of the change agent. This mutual acceptance of an objective will not be achieved unless a free flow of information occurs between the change agent and a staff. The traditional structure of our school system militates against a free exchange. Too often the communication is in one direction only and proper channels for feedback are not created. A principal attempting change may find it helpful to design a communication system incorporating a two-way system.[3] In any case, communication should be frequent, concise, and professional in tone. Its prime purpose in a change situation should be to expose a staff to what the change goals imply and particularly to what it will demand of each person.

If teachers are going to be affected adversely by a change, every attempt should be made to deal with this openly. Considerable discontent will be avoided at a later point if the teaching staff is forewarned concerning circumstances which are almost certain to be perceived as detrimental. It may be anticipated, for example, that some teachers will find a team teaching situation threatening because of their having to share duties and decision-making responsibilities that have been traditionally centralized in a self-contained classroom. This fact should be recognized, communicated, and discussed. Such communication tends to reduce anxiety and tension.

Before leaving the subject of communication, let me add one caution. Teachers are people who think, feel, love, and hate. They do not leave their prejudices and feelings or their ignorance behind them when they are called upon to launch out into the unknown. For this reason, a principal-change agent has to be sure of himself and his objectives so that he can be informative and supportive as the change is initiated and progresses. A wavering change agent broadcasts uncertainty. An unfeeling one spurs hostility. Firmness of purpose and understanding should characterize every communication.

Reward

- Change comes about when the reward is not too high. The reward can't come from the superintendent or the community. The reward must come from children.

The reward individuals receive for involvement in the change operation will influence their willingness to give their time and talent. These rewards may be either material or psychological—a larger paycheck or emotional satis-

[3] See Jerrold M. Novotney, "What Will They Listen To?", *Catholic School Journal*, Vol. 66, No. 7, (September, 1966), pp. 84, 85, for a list of teacher-preferred methods of communication.

faction. The kinds of rewards available for meeting the change-agent's expectancies should be made known to those involved in the change process. A teaching staff should know whether a proposed change will result in increased prestige, an increase in pay, or an increase in instructional efficiency.

In our society people tend to think of rewards in terms of increased monetary return, but research suggests that psychological rewards are frequently more powerful. The satisfaction that a committed teacher feels when she sees her students doing better in a changed instructional situation is likely to be a sufficient reward. Such satisfaction is not translatable into dollars and cents. However, if monetary rewards *are* utilized in the change process, they should be made realistic and *permanent* so that expectations for rewards are not crushed once the change has been brought about.

There is a definite reward in the process of accomplishing change. The teacher to whom change is being suggested should be helped to see and understand that he has it within his power to bring it about—that he has the ability to successfully manipulate the factors involved in the proposed change. A negative attitude about the possibility of obtaining the change causes individuals to become indifferent and sometimes obstructionistic. The origin of a negative attitude can often be traced to the fact that those involved really had no idea what the proposed change would demand of them in terms of skills, attitudes, or knowledge. An example is the teacher who rebels against nongrading because he has no understanding of what the individualization of instruction implies and because he sees it as completely opposed to traditional teaching. Had he been helped to see that the new approach still demanded utilization of many traditional classroom skills, his unwillingness to attempt the change might have been radically altered.

In summary then, if teachers are to commit themselves to change they must be motivated in accord with their own needs. Rewards should be analyzed and made explicit. Frequent and clear communication should be used to help a staff (a) understand what is being sought, (b) comprehend what change is going to mean in terms of extra effort, and (c) know what new skills will have to be learned or exhibited. Adequate attention given to these factors by the change agent will set the stage for a meaningful personal contribution to the change process by all members of the staff.

Atmosphere of Cooperation

Change occurs in a multitude of ways and under a variety of labels. *Interactional change* occurs when things just happen. *Indoctrinational change* is brought about by an imbalance of power. *Technocratic change* usually follows a carefully engineered pattern according to a model framework. *Natural change* occurs when no goals are apparent and no deliberateness seems to exist. *Coercive change* is initiated when goals are imposed by a

distant power. *Planned change* is achieved through dialogue in an atmosphere of cooperation. Planned change is the principal-change agent's goal.

In a school setting, a change will usually have repercussions that are institutional, monetary, or political in nature. Careful planning is essential to control these effects. Planned change demands input from numerous sources so that wise decisions can be made; in a school this means that contributions from all members of the staff should be included in planning. Where the staff is united for the achievement of mutually derived goals—where there is an atmosphere of cooperation—planned change can occur.

Cooperation encompasses human interaction and cohesion. Human interaction implies a give-and-take on an interpersonal basis while cohesion refers to the melding of isolates into a group. Group cohesion is indicated by how well the group is organized, whether members are mutually supportive, and whether or not the group experiences any degree of success in its efforts.[4] The quality of human interaction that takes place within a group reflects the freedom and sense of acceptance felt by the group as it moves ahead in its task. Both cohesion and interaction are measurable and interdependent. They are at a maximum when group members are led to perceive the achievement of their own goals as interrelated with the achievement of others' goals in a given situation. Regardless of how difficult a change may appear or how onerous the tasks necessary to achieve it, if the individuals in the change team take their strength from each other and feel free to exchange or deal with common problems in an atmosphere of acceptance, the possibility of successful change will be increased. Clearly then, to create a cooperative spirit, the change agent must express the goals and values which can be held in common by those being asked to work for change.

Let it be underlined again, *a principal-change agent must be aware of the emotional as well as the intellectual reactions of his staff.* A change agent cannot act as if human beings are rational calculating machines moved by ideas and concerned only with their correctness. Change decisions are sometimes poor because they have been devised upon the assumption that feelings can be laid aside or ignored; yet teachers may reject change goals because of anger, resentment, or fear.

It follows that in any attempt to influence a faculty, a principal must be aware of his own feelings, biases, and prejudices. *A principal must know where he himself stands in relation to a change before he can successfully involve teachers.* For example, a principal will find it difficult to move teachers in the direction of team teaching unless he recognizes his own strong intellectual and emotional commitment to the idea and, at the same time, understands that others may not be so committed at the outset. He must also be aware of how

4 Paul A. Hare, *Handbook of Small Group Research,* New York: The Free Press of Glencoe, 1962, p. 147.

much he is willing to give of himself to accomplish the goal. The test of a well-planned change is not whether it was made with cold rationality but whether the emotions of all involved individuals have been recognized and provided for.

Toward Involvement

- Finally, when I became desperate I decided to involve the staff and they went like "a house afire." They really go when they are able to identify and to solve problems.

Involvement of staff in the change process is basically a management and leadership problem. Change agents are literally both managers and leaders. Although we recognize that schools are not factories, schools are made up of people existing in a variety of organizational relationships. There are those in a supervisory capacity, and there are those who are supervised. The findings of management research, therefore, offer a rich source of guidance as we discuss staff involvement.

School management or, more appropriately, educational leadership may be exhibited in an authoritarian, a democratic, a *laissez faire* manner, or in a combination of the three types. Each leadership pattern requires cooperation and some degree of commitment. However, the effects of each pattern vary. The result of an authoritarian approach is often low staff morale. The *laissez faire* approach makes the achievement of objectives a matter of chance rather than choice. It frequently results in a climate characterized by the independent entrepreneur. The democratic pattern, while not significantly higher in its production outcomes, does a better job in creating a healthy work climate. This is particularly important for a school change situation.

In jobs such as teaching which cannot be highly functionalized and for which time standards cannot be set, there is a direct relationship between the productivity of workers and their attitudes toward all aspects of the work climate, including supervision.[5] Likert points out that managers who are highly productive tend to exhibit certain common characteristics:

1. They are guided by the fact that any new practice must give promise for improving both attitudes and productivity.
2. They rapidly sense any unfavorable shift in attitude among their subordinates and promptly change or stop the activity responsible for the undesirable shift.
3. They avoid putting greater hierarchical pressures on workers to increase production.

5 Rensis Likert, *New Patterns of Management,* New York: McGraw-Hill Book Co., 1961, p. 78.

4. They tend to use principles and practices of management which yield better communication and better decisions.[6]

This list appears to state the obvious, yet it makes eminent good sense for a change agent. In essence it states that effective leaders are acutely concerned about staff. One study has shown that when an accountant, engineer, or teacher enters his field of work, 80% of his job revolves around his technical background and 20% on his ability to get along with people in the organization. As he moves up into the ranks of the supervisory hierarchy, the technical component decreases while the human relations component increases.[7] Once a principal moves from the ranks of the teachers to the supervisory or administrative level, he finds himself confronted with a major human relations problem. In periods of disequilibrium the problem is multiplied.

Cooperative Motivation System

•The key was their perception of me as a principal. The teachers could see right through me. I was controlling things.

The principal-change agent will find it useful to adopt what has been called the cooperative motivation system, which seeks to strengthen and reinforce motivational forces to achieve change objectives by supplementing and utilizing favorable attitudes.[8]

The task of the principal-change agent is to build a new work group for the accomplishment of change. Research in various occupational situations suggests that *successful* administrators mold their organizations into highly coordinated, highly motivated cooperative social systems. They seek to utilize individual staff talents to form a strong force aimed at accomplishing mutually established objectives.[9] This suggests the use of the team approach to task accomplishment based upon the assumption that the complexity of most change situations demands the application of a variety of talents.

As educators we admit that there are wide degrees of difference in the talents of children, but frequently we forget that the same is true of adults. Teachers *are* vastly different. A change agent cannot make equal demands upon all, nor can he expect that all will be satisfied with similar recognition. In an effective team endeavor, a variety of tasks are not assigned on a random basis but according to who can do what best. Staff participation in the work

6 *Ibid.*

7 Roger Bellows, Thomas Q. Gilson, and George S. Odiorne, *Executive Skills for Dynamics and Development,* Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1962, p. 229.

8 Rensis Likert, *op. cit.,* p. 82.

9 *Ibid.,* p. 100.

distribution is important. Openness and acceptance are the prime characteristics of an ideal team situation. People have the opportunity to direct their own destiny and to work together to make wise decisions. Consensus rather than decree determines the direction of the group's movement. People feel free to air their ideas without fear of retaliation or criticism. Group members support each other and their leader because all are responsible for the objectives and subsequent action. In these situations, teams tend to become closely knit groups. One League of Cooperating Schools' principal remarked that "the extent to which change has occurred is the extent to which teachers feel free to control their own decisions."

The point being made is that resistance to change will be minimal if teachers are allowed to participate in the decision-making process. This is substantiated by the work of Goodwin Watson, who concluded that:

1. Resistance will be less if participants in the change process have worked together to diagnose a situation and to agree on a basic problem and to feel it is important.
2. Resistance will be less if the goals are adopted by consensual group decision.
3. Resistance will be reduced if proponents are able to empathize with opponents to recognize valid objections and to take steps to relieve unnecessary fears.
4. Resistance will be reduced if individuals experience acceptance, support, trust, and confidence in their relations with one another.[10]

Teachers, like everyone else, have the need to sustain a sense of personal worth. An important source of satisfaction for this need is the response they receive from friends and colleagues whose approval and support they are eager to have.[11] This fact is relevant to the principal-change agent's attempt to bring about change. He should take note of what his staff is doing and recognize with appreciation those deeds which contribute to achievement of the objectives of the sought for change.

Conclusion

Change will meet with little resistance in schools where the individual is motivated (a) to accept the goals and decisions of the group; (b) to seek to influence these groups and decisions so they are consistent with his own goals and experience; (c) to communicate fully to the members of the group; and (d) to behave in a way calculated to receive support and recognition from

[10] Goodwin Watson (ed.), *Concepts for Social Change,* Washington, D. C.: National Training Laboratories, 1967, p. 23.

[11] Rensis Likert, *op. cit.,* p. 104.

members of the group and particularly from individuals whom he sees as having more power and status than himself.[12] In such schools the principal serves as an important resource person for a team effort. By his contribution and conceptual inputs he exercises his leadership role. Change occurs because he has opened new perspectives to his staff by involving them. He finds his gratification not in the fact that he is directing and solely responsible for the change, but in the fact of its accomplishment.

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Teachers will never become professionals until they are allowed to make all instructional decisions—until they are free to make mistakes, with dignity but not with impunity.

THE ART OF DECISION-MAKING

DONALD A. MYERS

All instructional decisions should be made by teachers because they are the persons in the school who know enough about themselves and the learners to make the most intelligent judgments. Since instruction is the main activity in schools, most of the significant decisions should be made by teachers. A principal stated it clearly:

> Let's face it. I am a better than average elementary principal and I know quite a lot about reading, mathematics, and so forth, but there is *at least* one teacher on the staff who knows more than I about any single area. It is not always the same teacher, of course, but the fact is that I am not the best data source for *any* instructional area. I'm always saying, 'I believe so-in-so, but be certain to check with Mrs. Jones, she's the expert in mathematics; or see Miss Smith, she really knows ITA.'

Instructional decisions include not only the decisions that teachers make in the classroom while directing learning activities, but also decisions concern-

ing how to group children most effectively for a particular activity, and how to most effectively organize the staff. Teachers should be permitted to decide the manner in which they are going to work together—whether in teams, in self-contained classrooms, and so forth—because the method of organization affects decisions about learning activities, often to a marked extent.

What guarantee do parents, administrators, and learners have that teachers will make rational instructional decisions? How can the board of education be assured that rational decisions are being made? Assurance can come from the principals and superintendents who oversee all decisions and block those that appear inconsistent with their goals and values; or the principal and superintendent can take responsibility for communicating the goals and values of the board of education to the teachers and then monitor their decisions to insure that they have followed appropriate procedures. The latter approach seems most appropriate.

The idea that the principal should not make instructional decisions has often been erroneously interpreted to mean that the principal has no voice in the decisions of the school. What is the principal's role if teachers make instructional decisions? His role is procedural; that is, he is a procedural task master. The principal monitors procedures in two areas: (1) decision-making, (2) group process. Each will be discussed below.

Decision-Making Monitor [1]

Griffiths contends that ". . . it is the function of the executive to see to it that the decision process proceeds in an effective manner . . . In fact, the executive is called upon to make a decision only when the organization fails to make its own decision. To put this into other words, if the executive is personally making decisions,this means that there exists malfunctioning in the decision process." [2] Griffiths further states:

> The effectiveness of a chief executive is inversely proportional to the number of decisions which he must personally make concerning the affairs of the organization. It is not the function of the chief executive to make decisions; it is his function to monitor the decision-making process to make certain that it performs at the optimum level.[3]

For example, it is customary for most principals to decide how they are going to deploy teachers and how the children will be grouped. Sometimes teachers are consulted and sometimes they are not, but the ultimate decision

[1] A more thorough treatment of the role of the principal may be found in an article entitled, "The Principal as Procedural Adminstrator," *National Elementary School Principal,* XLVII (February 1968), pp. 25-29, by the author.

[2] Daniel E. Griffiths, *Administrative Theory,* New York: Appleton-Century-Crofts, Inc., 1959, p. 73.

[3] *Ibid.*

is the principal's.

The position that Griffiths espouses, and which I support, is that the principal should not decide how to organize learners within the classroom and the school. He should act as a decision-making monitor, insisting that teachers follow appropriate procedures which will assist them in their efforts to make rational decisions. Once teachers have satisfied these procedures, the principal is obligated to accept the teachers' decision *regardless* of whether he agrees with it.

Procedures are items that should be followed before making a decision. The source for procedures in decision-making can be found in the area of what is often termed "the scientific method." In making a decision, a person typically:

1. defines the problem,
2. identifies a number of action alternatives relevant to the problem,
3. predicts the consequences related to each alternative being considered,
4. exercises a choice from among the alternatives.

These four steps constitute the prevailing conception of the decision-making process. While they describe what does occur as a decision is made, they do so in terms that are too global to derive specific guidelines for staff involvement.

At the present time teachers seldom have procedures as guidelines for decision-making. What kind of procedures might be appropriate for a principal to set forth if, for example, the teachers want to make decisions about organizing into an instructional team? The principal would do well to advise the teacher to: (1) read what scholars and informed practitioners have written on the subject, (2) experiment with several systems, (3) seek his advice, (4) become familiar with the experiences of other school districts, (5) compare their educational biases against the educational philosophy expressed by the board of education, (6) place the system within a long-range plan, and consider the implications that it will have on the total school district, (7) visit schools that are experimenting with different types of staff utilization, and (8) pilot test aspects of the plan.

Procedures appropriate for one decision area would not always be appropriate for another; however, they would be similar. They would not be identical because they have different weightings and in some cases a given procedure would not be useful for a particular problem.

To function as a decision-making monitor, a principal must be a capable resource person. A teacher has a right to expect the principal or members of his supportive staff (librarian, instructional materials specialist, vice-principal,

central office personnel) to serve as sources of information. The principal does not have to be knowledgeable about all areas of instruction, but he should know what information is available. For example, a principal might not know the results of the latest research on the ITA program, but he should be able to suggest persons who have this knowledge, or journals where such information is available. He should be aware that an adjacent school district experimented with the program last year and is welcoming observers this year; that several research proposals to study ITA are being sponsored by the Cooperative Research Bureau of the U. S. Office of Education; that the curriculum library has several journals devoted entirely to the ITA approach in reading. If a teacher's interest continued, the principal, as a good resource person, might offer to write to the company producing ITA for sample material, request that the district's reading consultant visit the school, or propose discussing the topic at the next staff meeting if the teacher thought it would be useful.

The principal, as a resource person, finds himself in a position similar in responsibility to that of the librarian. No one expects the librarian to understand everything about photosynthesis and protozoa, but most persons believe he should know that additional information may be found, for example, by consulting *The Reader's Guide,* by writing to the county and state science societies, by checking appropriate catalogues, and by examining selected issues of scientific journals.

A resource person not only acts as a source of data for teachers, but also serves as a source of promising and innovative ideas. The principal is often the only person in the school organization who has the flexibility of time to gather resource ideas. He visits the central office and the various federally and privately financed projects, meets with the superintendent of schools and his staff, visits other schools, and attends regional and national conferences. As a result, he can keep abreast of developments in the field and know about a variety of educational resources available in the school district and the community.

Group Process Monitor

It has been indicated thus far that as teachers become involved in making instructional decisions, they should follow systematic procedures that will tend to maximize more rational decisions, but how likely are teachers to do this? The research of social scientists since 1935 indicates that the problem of organizational health does not exist in the area of "scientific management," but in the area of human relations. Mayo, Roethlisberger, Dickson, Lewin, Moreno, and Rogers have had a similar message. It is that human motivation, participation, decision-making, feelings, liking, and empathy are central factors to the productivity of a group and organization.

There is ample documentation to support the view that teacher participation in decision-making has desirable consequences. Studies done in industry, dating from the famous Western Electric Studies at Hawthorne, Illinois,[4] to more current studies, such as Coch and French,[5] Guest,[6] Vroom,[7] Maier,[8] and Wickert[9] reveal the value of staff involvement.

In the field of education, Chase's study involving 1800 teachers in 216 systems in 43 states, indicated that "teachers who report opportunity to participate regularly and actively in making policies are more likely to be enthusiastic about their school systems than those who report limited opportunity to participate."[10] Sharma,[11] in a study of 500 teachers from all parts of the United States, revealed that teacher satisfaction was related directly to the extent to which they participated in decision-making. Bridges[12] found that teachers preferred principals who involved the staff in decision-making.

It appears then that participation by teachers in decision-making has desirable consequences so far as morale and productivity are concerned. The significant question is not whether staff involvement has desirable consequences, but what characterizes staff involvement.

Staff Team Work

What role does goal definition have in decision-making? Are decisions made by a chairman, by majority vote, or by consensus? Who participates in decisions? Do all decisions that are reached result in an action program? How are decisions evaluated? Is leadership diffused or centered in one person? What channels of communication exist between members of the

4 Fritz J. Roethlisberger and William J. Dickson, *Management and the Worker*, Cambridge, Massachusetts: Harvard University Press, 1939.

5 L. Coch and J. R. P. French, Jr., "Overcoming Resistance to Change," *Human Relations*, I (No. 4, 1948), pp. 512-32.

6 Robert H. Guest, *Organizational Change: The Effect of Successful Leadership*, Homewood, Illinois: Dorsey Press, Inc., 1960.

7 Victor H. Vroom, *Some Personality Determinants of the Effects of Participation*, Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1960.

8 N. R. F. Maier and R. A. Maier, "An Experimental Test of the Effects of 'Developmental' vs. 'Free' Discussions on the Quality of Group Decisions," *Journal of Applied Psychology*, XLI (1957) 1, pp. 320-23.

9 R. F. Wickert, "Turnover and Employees Feelings of Ego-Involvement in the Day-to-Day Operations of a Company," *Personnel Psychology*, IV (1951) pp. 185-97.

10 Francis S. Chase, "The Teacher and Policy Making," *Administrator's Notebook*, I (May 1952), pp. 1-4.

11 Chiranji Lal Sharma, "Who Should Make What Decisions?" *Administrator's Notebook*, III (April, 1955), pp. 1-4.

12 Edwin M. Bridges, "A Model for Shared Decision Making in the School Principalship," *Educational Administration Quarterly*, Winter 1967), pp. 49-61.

group? How do members feel about the progress of the group? It is important to know what factors contribute to a productive group and which are the most significant.

When the group of principals described earlier began to list characteristics of good staff involvement, they thought in terms of teams. In a good team: (1) Teachers attend courses at colleges and universities. (2) Teachers read literature in education. (3) Teachers discuss issues in depth—often for several hours. (4) Teachers make periodic visits to other schools and other classrooms. (5) Teachers experiment with a variety of new materials. (6) Teachers attend local and often state conferences. (7) Teachers are constructive members of a group.

A close examination of this list reveals that the principals saw a clear relationship between staff involvement and teacher attitudes toward their work. The principals apparently believe that good teachers are inquiry minded—taking courses at universities, experimenting with new materials, and visiting with other teachers. Bennis suggests that a spirit of inquiry serves as a model for organizations. The spirit of inquiry involves a "hypothetical spirit," and an "experimental spirit." The first includes ". . . a feeling of tentativeness and caution, the respect for . . . probable error."[13] The second includes, "the willingness to expose ideas to empirical testing, to procedures, and action."[14] The principals seemed to identify a good team, that is, a model of organization, with the spirit of inquiry that Bennis described.

The principal's responsibility to monitor the group processes is a difficult task, but it is of critical importance because even the most dedicated group of teachers possesses weaknesses in many of these categories. Some staffs may be so disorganized that the principal will find it necessary to seek the involvement of an outside authority in group processes, but he cannot abdicate responsibility in this area.

Another major responsibility the principal faces is, as Bridges points out, deciding the "constitutional arrangements" of a group. The three major types of arrangements are ". . . the participant-determining, the parliamentarian, and the democratic-centralist."[15] In the participant-determining and the parliamentarian arrangement, each group member can theoretically exert the same amount of influence on a decision. The difference between the two is that the participant-determining group demands consensus, while the parliamentarian demands a plurality vote only. The democratic-centralist group places authority in one person and his decision is binding.

[13] Warren G. Bennis, *Changing Organizations,* New York: McGraw Hill Book Co., 1966, p. 47.

[14] *Ibid.*

[15] Bridges, *op. cit.*

In decisions regarding instruction, whether to use a participant-determining or parliamentarian arrangement would vary to fit different types of problems; however, this decision should be left to the teachers.

What constitutes a productive staff involvement? Here are ten categories that are representative of the thinking of many scholars in the behavorial sciences: (1) goals, (2) shared leadership, (3) communication, (4) cooperation and competition, (5) productivity, (6) evaluation, (7) structure, (8) cohesiveness, (9) satisfaction, (10) atmosphere.

Goals: Explicit goals guide the teachers' participation. A staff must begin its group work with some notion of objectives or goals. Both administrative and curriculum theory have stressed the need for explicit goals. Systems analysis has recently convinced many persons of their desirability.

Shared Leadership: A characteristic of productive groups is functional leadership; that is, leadership diffused among the group members so that different persons can assume a leadership role depending upon the function that needs to be performed. It is rare for one person to possess all of the capabilities necessary to lead a group at all times. The problem of leadership is one of the largest stumbling blocks to effective staff involvement. Many principals believe that they must retain the leadership of a group regardless of the function to be performed. Unfortunately, many teachers agree and are unwilling to accept leadership roles that they believe the principal should perform.

Communication: Teachers feel free to engage in an open and frank discussion of all issues. With the gradual demise of the self-contained classroom, the interaction between teachers increases. The resulting cooperative arrangements require that teachers relinquish part of their autonomy. This necessitates an open and frank discussion of objectives, methods, and children.

Cooperation and Competition: Teachers must cooperate with each other and deal openly with realistic conflict. The combination of cooperation and competition may seem strange to some persons; however, competition is essential for good group interaction, and can provide a vehicle for making progress. Some persons would even claim that it is an inevitable vehicle for progress. While competition tends to encourage conflicts within the group, the nature of group life hardly makes these avoidable anyway. The important point is that conflicts be dealt with openly and not ignored simply because they are unpleasant.

Productivity: The meetings as a whole are productive. One meeting may be productive because it generated many new ideas. Another meeting may be productive because it completed a task. This is the difference between a brainstorming group and a task force group. It is a mistake to evaluate them by the same standard. The productivity of a meeting can be evaluated only in terms of whether it reached its stated goals.

Evaluation and Feedback: Methods for evaluating member behavior and for communicating this information have been developed. Regardless of the processes employed by a group, there is still a need for feedback from member to member. Effective group communication depends upon understanding member behavior. Research indicates that an individual will not usually change his behavior unless feedback provides data as to how his behavior is seen by others.

Structure: Teachers use several types of subgroups to accomplish goals. A characteristic of a productive group is that it is able to change the structure of the group to accomplish its goals. If it is not successful with one structure, it will divide and create two subgroups or it will dissolve for a time and reconstitute itself along completely different lines.

Cohesiveness: All members feel a sense of belonging to the group. All members should feel free to participate in each meeting. Perhaps a member will not contribute verbally because he does not enjoy or feel competent in verbal exchanges. Yet that member can contribute in many other ways, such as writing reports of the meetings, compiling research findings outside of the meeting, or meeting with persons who need to be kept up-to-date on the progress of the group. The important factor is the cohesiveness of the group, which is generally reflected in the attendance at the meetings.

Satisfaction: Members appeared to gain satisfaction from their own performance. A person likes to feel that he has contributed to the success of the group. This sense of worth and satisfaction comes from his own contribution which is different than the type of satisfaction that comes from seeing a group succeed.

Atmosphere: The atmosphere appeared constructive and friendly. The atmosphere of a meeting is difficult to measure; consequently, it is difficult to determine its effect on a productive meeting, although it appears to be positively correlated to productivity. When meetings are dull and heavy, when persons appear to withhold their true feelings, the atmosphere is charged and productivity is reduced.

The principal and his staff should consider these ten areas of staff involvement as they work in groups. The role of the principal in group processes is procedural. He does not set goals but insists that the teachers do so. He does not assume leadership nor protect it for someone else but encourages those with particular talents to assume leadership when it seems appropriate. He does not take responsibility for all communication but allows an open forum for all to contribute. He does not discourage competition but maintains that conflicts arising from it be dealt with openly. He does not establish all tasks but requires that the teachers clarify the nature of the task. He does not evaluate all activities but encourages

frequent feedback between teachers. He does not establish the structure for each group but requires that teachers consider alternate structures. Finally, he personally enters into discussion to encourage cohesiveness, satisfaction, and a constructive and friendly atmosphere.

A Look to the Future

The responsibilities that have been suggested for principals and teachers require that they perform in different ways than they have in the past—that they assume different organizational roles. Since roles in an organization are complementary, persons who change their roles within an organization without preparing other members for the change usually encounter considerable conflict.

Most organizations, and certainly most school districts, are too bureaucratized to permit a substantial alteration of role on the part of any one person or group. Temporary changes frequently enjoy some success, but gradually the organization will tend to return to its former modes. This suggests that a redefinition of roles will be gradual, it will encounter conflicts, and it will have to involve all members of the organization.

Many principals are not anxious to permit teachers to make instructional decisions, and teachers often have neither the interest nor the competence to make these decisions. This latter fact is due to a number of reasons, but the following are basic: (1) the teaching field has not attracted the best students in colleges and universities; (2) teachers are presently overwhelmed by a combination of inadequate instructional materials, petty harrassments, large classes, and numerous clerical duties; and (3) administrators have not provided instructional workshops and visitation schedules that enable teachers to keep abreast of new developments in the field.

Of far greater significance, however, is the teachers' lack of opportunity to practice decision-making. The habit of relying upon the principal or central office to make instructional decisions has become so ingrained over the years that many teachers have stopped questioning the practice, and, indeed, often resist taking a more active role in decision-making.

The most logical remedy is to systematically increase the decision-making responsibilities of teachers in the hope that experience will improve ability. Only two other alternatives are available: (1) accept the teacher as a technician essentially incapable of marked improvement, or (2) wait for teacher education institutions to prepare teachers to assume a more mature and responsible role. Both alternatives are undesirable.

Aside from the difficulty of changing the organizational roles of principals and teachers, rationality and time are limiting factors to the implementation of the proposed scheme. Some state, with considerable supporting evidence, that man is not rational. But should we accept man's present stage

of irrationality as unalterable, or should we strive to make man more rational in the belief that rationality is superior to irrationality? I favor the last alternative.

I have suggested that teachers use procedures in making decisions and that the procedures would essentially ensure systematic inquiry. To engage in systematic inquiry requires that a person consider all relevant alternatives, which requires reading, visiting, pilot testing, discussing, etc. The process of systematic inquiry takes an enormous amount of time—an investment that people are often unwilling to make. They prefer to live with the reality of a poor decision rather than take the time for investigation that might lead to a better decision. Many teachers claim that there is not enough time now to engage in *unsystematic* inquiry. Systematic inquiry may slow down the decision-making process; however, the rational decisions that result will tend to be more permanent, thus saving time in the long run.

All data relative to an issue are never available, and there is a practical point at which decisions must be made. If teachers are struggling to make a decision regarding the use of a new mathematics program, a logical procedure would be for them to examine the leading mathematics programs to determine their strengths and weaknesses. But for how long? One day, or three days, or three weeks? At some point the teachers must make a decision. A principal may know that additional inquiry is needed and that the data acquired might change their decision, but it would not be reasonable for him to insist upon a more thorough consideration when the teachers are presently satisfied with their decision and when other, equally important, decisions need to be made. The point is that a given procedure could, theoretically, be studied indefinitely. A sensible judgment must be made by both principal and teachers.

Rigid adherence to procedures will not ensure rational decisions. It may be that, as Simon indicates, "Two persons, given the same possible alternatives, the same values, the same knowledge, can rationally reach only the same decision," [16] but we have only limited control of values, knowledge, and alternatives, and, therefore, we do not have sufficient control to ensure rational decisions. We can only expect that procedures will maximize rationality.

The role of the principal and teacher in decision-making is an evolving relationship that will change from month to month, if not from day to day. Teachers are capable of becoming professionals if they are given the responsibility of making decisions about the instructional program for children. The principal must persuade the teachers that inquiry is the most promising vehicle for making rational decisions.

[16] Herbert A. Simon, *Administrative Behavior,* New York: Macmillan Company, 1950, p. 241.

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Planning, strategies, models, roles, receptivity, resistance, innovating, facilitating, dissemination, decision-making—'action' words predominate in the current literature of change.

THE PROCESS OF CHANGE: A Selected Bibliography

LILLIAN K. SPITZER

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Katz, Daniel and Kahn, R. L. *The Social Psychology of Organizations.* John Wiley & Sons, 1966.

Discusses the behavior of people in organizations based on "open-system theory" which is carefully defined. In Chapter 13, seven approaches to organizational change are considered: information, individual counseling and therapy, peer-group influence, sensitivity training, group therapy, survey feedback, and direct systematic change. Surprisingly readable.

Kimbrough, Ralph B. "Community Power Structure and Curriculum Change," *Strategy for Curriculum Change,* Robert R. Leeper, ed. ASCD, 1965, pp. 55-71.

What is the nature of power structures in local school districts? Who is likely to wield power affecting innovations? Why do power wielders make decisions? Kimbrough attacks these questions to encourage educators to use the local power structure in innovation.

———. "Power Structures and Educational Change," *Planning and Effecting Needed Changes in Education,* 3rd Area Conference Report of Designing Education for the Future; an Eight-State Project, Edgar L. Morphet and Charles O. Ryan, eds. Denver, Colorado, The Project, 1967, pp. 115-36.

More detailed presentation than previous article. See also the author's book, *Political Power and Educational Decision-Making.* Rand McNally, 1964.

Klein, Donald C. *Dynamics of Resistance to Change: The Defender Role.* Boston University Human Relations Center, 1966.

Points out that the resistor role in change situations has the positive function of testing and evaluating the proposed change in terms of the accepted values of the system.

Kowitz, Gerald T. "The Change and Improvement of School Practices," *Phi Delta Kappan,* 42:216-19, February, 1961.

Makes the point that improvement based upon the willingness of the administrator to examine his operations can result in a gradual, evolutionary improvement. Offers a model to assess educational change.

_____. "Examining Educational Innovations - Part II," *American School Board Journal,* 148:17-19, January, 1964.

Knowledge of specific goals, as well as underlying assumptions of the innovation and their possibility of fulfillment are essential before change takes place.

Lipham, James M. "Leadership and Administration," *Behavioral Science and Educational Administration,* NSSE, 63rd Yearbook, Part II. University of Chicago Press, 1964, pp. 119-41.

Sees leadership as the initiation of new structure for accomplishing an organization's goals, and administration as utilizing existing structures to achieve an existing goal.

Lippitt, Ronald. "Roles and Processes in Curriculum Development and Change," *Strategy for Curriculum Change,* Robert R. Leeper, ed., ASCD, 1965, pp. 11-28.

Identifies five models of curriculum development process, particularly sources of influence toward change. Looks at professional roles and teamwork needed as well as the present ferment in education today.

See also *Dynamics of Planned Change* by Lippitt, et al. Harcourt, Brace & World, 1958.

Lonsdale, Richard C. "Maintaining the Organization in Dynamic Equilibrium: Organizational Change," *Behavioral Science and Educational Administration,* NSSE 63rd Yearbook, Part II. University of Chicago Press, 1964, pp. 174-76.

A few pages which make the important point that organizations should strive to develop a favorable orientation toward change, a willingness to change, and a readiness for change.

Lortie, Dan C. "Change and Exchange: Reducing Resistance to Innovation," *Administrator's Notebook,* v. 12, no. 6, February, 1964.

Argues that social scientific analysis, using the concepts of latent function and exchange, can help the administrator to anticipate and deal with resistance to change.

MacDonald, James B. "Helping Teachers Change," ASCD *Eleventh Curriculum Research Institute,* 1966, pp. 1-10.

Points out the effect of the social system upon individual behavior, indicating that "the administrator symbolizes the setting and is the focal point for teacher observation and perception of the system." Notes that the knowledge about and enthusiasm for new practices on the part of the leadership personnel are probably the most significant

factors in the environment. Delineates other conditions for change: developing supporting climate, providing reality testing procedures, developing ways of thinking with values throughout the "clarification" process.

March, James G., ed. *Handbook of Organizations.* Rand McNally, 1965.

A comprehensive reference work which examines specific institutions such as schools in their organizational context. Chapters also deal with "Decision-Making and Problem Solving," "Influence, Leadership, Control," and "Changing Interpersonal and Intergroup Relationships in Organization."

Meierhenry, W. C., ed. *Media and Educational Innovation.* University of Nebraska Press, 1964.

A symposium on identifying techniques and principles for gaining acceptance of research results includes contributions by Art Gallaher, "The role of the advocate and directed change"; Paul Meadows, "Novelty and acceptors: a sociological consideration of the acceptance of change"; Wayman Crow, "Characteristics of leaders who are able to promote change"; et al.

Miles, Matthew B., ed. *Innovation in Education.* Bureau of Publications, Teachers College, Columbia University, 1964.

A basic reference for the study of change, especially these chapters: "Educational innovation; the nature of the problem" by Matthew Miles; "Title III and the dynamics of educational change in California," by Donald W. Johnson; "Curricular change: participants, power, and processes," by Gordon Mackenzie; "Administrative theory and change in organizations," by Daniel E. Griffiths; "On temporary systems," and "Innovation in education: some generalizations," by Matthew Miles.

Miller, Richard I., ed. "A Multidisciplinary Focus on Educational Change," *Bulletin of the Bureau of School Service,* v. 38, no. 2, December, 1965. College of Education, University of Kentucky, 1965.

Reports the 1965 Midwest Regional Conference of Elementary Principals with Robert Chin, "Change and human relations"; D. A. Booth, "Change and political realities"; and C. M. Coughenour, "Change and sociological perspectives." The latter discusses the role of the principal in change, stressing the general problems of orientations to change and adaptability as well as the problems of organization and implementation.

_____, ed. *Perspectives on Educational Change.* Appleton-Century-Crofts, 1967.

Focuses on the process of change proceeding from the general to the specific, looking at the theoretical and research aspects with case studies on actual situations. Chapter 10, "How the Lulu Walker School came about" by Evelyn Carswell; Chapter 11, "Garden Springs Elementary

School" by Raymond Wilkie; and Chapter 12 by Ruth Chadwick and Robert Anderson, "The school reorganization project in Newton, Mass." reveal graphically how change came about in specific elementary schools. Glen Heather's chapter on "Influencing change at the elementary level" examines in a more general but extremely useful way how well innovations are being used to serve new educational aims.

Myers, Donald A. "The Principal as a Procedural Administrator," *National Elementary School Principal,* 47:25-9, February, 1968.

Suggests that the role of the principal is to assist teachers in their efforts to make rational decisions by following appropriate procedures and using criteria developed at the institutional level. The principal must also keep abreast of developments in the field, gather resource ideas, know available educational resources, and exercise good judgment when facing alternatives.

Novotney, Jerrold M. "How to Manage Change," *American School Board Journal,* 155:25-26, December, 1967.

Suggests a model for implementing change based on assumptions that the principal can be the change agent and that he has recognized need for change. See also his "The Principal: The Key to Educational Change," *Catholic School Journal,* 68:68-73, February, 1968.

Pellegrin, Roland J. *An Analysis of Sources and Processes of Innovation in Education.* Center for the Advanced Study of Educational Administration, University of Oregon, 1966.

A paper presented at the Conference on Educational Change, Allerton Park, Illinois, February 28, 1966, which discusses the existing and potential sources of educational innovations; the conditions under which innovations *can* occur; and the changes that must be made in order to tie together knowledge and practice.

Rogers, Everett M. *Diffusion of Innovations.* Free Press of Glencoe, 1962.

Shows that traditional vs. modern orientations in a particular community or subculture affect adoption rates markedly. Greater personal innovativeness is associated with "cosmopoliteness" (the result of experience in more than one social system). Emphasizes the characteristics of inventions that made them more or less acceptable, such as relative advantage, compatibility, complexity, divisibility, and communicability. Lists stages in adoption: awareness, interest, evaluation, trial, and adoption.

———. "What Are Innovators Like?" *Theory Into Practice,* 2:252-56, December, 1963.

Innovators seek new ideas from impersonal sources such as university research and are cosmopolite in social relations forming cliques including other innovators.

———————. "Toward a New Model for Educational Change." Paper presented at the Conference on Strategies for Educational Change, Washington, D. C., November 8-10, 1965.

Saunders, Robert L.; Phillips, R. C.; and Johnson, H. T. *A Theory of Educational Leadership.* Charles E. Merrill, 1966.

Delineates the role of the local school in decision-making. Proposes a design for implementing the theory described and evaluating cooperative programs of instructional improvement. Outlines necessary conditions and anticipated outcomes of putting the theory into action.

Schein, Edgar H. and Bennis, W. G. *Personal and Organizational Change through Group Methods.* John Wiley & Sons, 1965.

Develops a three-stage temporal theory of change in which the T-group laboratory has an initial "unfreezing" effect on the individual, creating a need for change. A period of search and experimentation follows during which behavioral change actually takes place. This is followed by refreezing of behaviors due to counter forces generated within or external to the person which opposes the change.

Thelen, Herbert A. "New Practices on the Firing Line," *Administrator's Notebook,* v. 12, no. 5, January, 1964.

Describes three major phases of change: enthusiasm, vulgarization and spread, and institutionalization. Discusses assessment of change briefly.

Theory Into Practice, v. 5, no. 1, February, 1966. "Planning for Educational Change."

Bhola opens this issue with a discussion of need for planned change. Articles on the study of change as a concept are followed by several on the effect of planned change - on the classroom, on the local school, on national agencies, etc.

Tye, Kenneth A. *Creating Impact.* 1967.

Unpublished paper examines much of the research and theory dealing with small groups. Relates findings to the process of dissemination of educational innovations.

University City, Missouri, School District. *The Comprehensive Project for Improvement in Learning.* Prepared by Glenys G. Unruh. Report to the Ford Foundation at the Conclusion of the Three-Year Project, July, 1966.

Based on a strategy of program change attacking three fronts simultaneously: restructuring organization, modernizing curriculum, and releasing human dynamics. Outlines an envisioned school system contrasted with present conditions. Discusses, briefly, problems of the change process.

Walton, Richard E. "Two Strategies of Social Change and their Dilemmas," *Journal of Applied Behavioral Science,* I: 167-79, Ap-My-Je, 1965.

Two strategies, involving power tactics on the one hand and attitude change activities on the other, are analyzed, showing that the methods of achieving and employing power are detrimental to the methods of achieving more friendliness and trust, and vice versa. Discusses ways group leaders attempt to cope with and sometimes integrate the two strategies into a broader strategy of social change.

Watson, Goodwin, ed. *Change in School Systems.* Published for the Cooperative Project for Educational Development by National Training Laboratories, NEA, 1967.

Papers which focus attention on processes of the schools and on strategies designed to test and develop the core ideas outlined in companion volume *Concepts for Social Change.* Matthew Miles, "Some properties of schools as social systems"; Charles C. Jung, Robert Fox, and Ronald Lippitt, "An orientation and strategy for working on problems of change in school systems;" et al.

_____. *Concepts for Social Change.* Published for Cooperative Project for Educational Development by National Training Laboratories, NEA, 1967.

Working papers which develop the core ideas about planned change to give direction to the Cooperative Project for Educational Development (COPED). Paul C. Buchanan, "The concept of organization development, or self-renewal as a form of planned change"; Goodwin Watson, "Resistance to change"; Donald Klein, "Some notes on the dynamics of resistance to change: the defender role"; et al.

Watson, Goodwin and Glaser, Edward M. *What We Have Learned about Planning for Change.* American Management Association, 1965. Reprint from *Management Review Magazine,* 54:34-46, November, 1965.

An article in response to the question, "How can we implement change in ways that preserve and enhance human dignity?" Offers an outline of steps including the identification of problems, the generation of proposals to solve problems, the scheduling of resources needed and available, and the effecting and maintaining of change. Stresses knowledgeable leadership in planning and direction, the importance of staff involvement, organizational climate, desirability of pilot programs, and the need to be aware of side effects.

Wiles, Kimball. "Contrasts in Strategies of Change," *Strategy for Curriculum Change.* ASCD, 1965, pp. 1-10.

Allocates such functions as basic research, field testing, and evaluation to agencies outside the school system and states that innovation occurs outside the school system. Diffusion and integration occur within the system.

Woods, Thomas E. *The Administration of Educational Innovation.* University of Oregon, Bureau of Educational Research, 1967.

A superintendent of schools reviews sophisticated behavioral science research for the school practitioner in concise and understandable fashion. Based on the assumption that before the administrator can develop skills to manage programs of change, he must have some knowledge of aspects of change and consequences ensuing from different change strategies. Embodied in this brief pamphlet are many of the ideas presented in Miles' book, *Innovations in Education.*